



ALABAMA DEPARTMENT OF HUMAN RESOURCES REQUEST FOR PROPOSALS

PROCUREMENT INFORMATION	
RFP Number: 2010-200-01	RFP Title: <i>Child Care Time and Attendance System (TAS)</i>
Proposal Due Date and Time: <i>Friday, May 21, 2010</i> 12:00 p.m., Central Time	Number of Pages: 64
Procurement Officer: Starr Stewart, Director Phone: (334) 353-4744 E-mail Address: starr.stewart@dhr.alabama.gov Website: http://www.dhr.alabama.gov	Issue Date: <i>Tuesday, April 27, 2010</i>
	Issuing Division: <i>Child Care Services</i>

INSTRUCTIONS TO VENDORS	
Submit Proposal to: Starr Stewart, Director Office of Procurement Alabama Department of Human Resources Gordon Persons Building, Room 2344 50 Ripley Street Montgomery, AL 36130-4000	Label Envelope/Package: RFP Title/Number: <i>Child Care Time and Attendance System /2010-200-01</i> Proposal Due Date: <i>Friday, May 21, 2010</i>
	Special Instructions:

VENDOR INFORMATION	
(Fill in the information fields below and return this form with RFP response)	
Vendor Name/Address:	Authorized Vendor Signatory: (Please print name and sign in ink)
Vendor Phone Number: ()	Vendor FAX Number: ()
Vendor Federal I.D. Number:	Vendor E-mail Address:
Indicate whether this proposal is an original or a copy. <input type="checkbox"/> Original <input type="checkbox"/> Copy	
Trade Secret Declarations: (<u>reference section/page(s) of trade secret declarations</u>)	

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VENDOR'S RFP CHECKLIST

1. _____ **Read the *entire* document.** Note critical items such as: mandatory requirements; supplies/services required; submittal dates; number of copies required for submittal; licensing requirements; contractual requirements (i.e., contract performance security, insurance requirements, performance and/or reporting requirements, etc.).
2. _____ **Note the procurement officer's name, address, phone numbers and e-mail address.** This is the only person you are allowed to communicate with regarding the RFP.
3. _____ **Attend the pre-proposal conference** if one is offered. These conferences provide an opportunity to ask clarifying questions, obtain a better understanding of the project, or to notify the Department of any ambiguities, inconsistencies, or errors in the RFP.
4. _____ **Take advantage of the “question and answer” period.** Submit your questions to the procurement officer by the due date listed in the Schedule of Events and view the answers given in the formal “addenda” issued for the RFP. All addenda issued for an RFP are posted on the Department’s website at www.dhr.alabama.gov and will include all questions asked and responses concerning the RFP.
5. _____ **Follow the format required in the RFP** when preparing your response. Provide point-by-point responses to all sections in a clear and concise manner.
6. _____ **Provide complete answers/descriptions.** Read and answer **all** questions and requirements. Don’t assume the Department or evaluation committee will know what your company capabilities are or what items/services you can provide, even if you have previously contracted with the Department. The proposals are evaluated based solely on the information and materials provided in your response.
7. _____ **Use the forms provided**, i.e., cover page, budget forms, certification forms, etc.
8. _____ **Check the Department’s website for RFP addenda.** It is the vendor’s responsibility to check the Department’s website at www.dhr.alabama.gov for any addenda issued for this RFP, no further notification will be provided.
9. _____ **Review and read the RFP document again** to make sure that you have addressed all requirements. Your original response and the requested copies must be identical and be complete. The copies are provided to the evaluation committee members and will be used to score your response.
10. _____ **Submit your response on time.** Note all the dates and times listed in the Schedule of Events and within the document, and submit all required items on time. Late proposal responses are ***never*** accepted.

This checklist is provided for assistance only and should not be submitted with Vendor’s response.

SCHEDULE OF EVENTS

The following RFP Schedule of Events represents the Department's best estimate of the schedule that will be followed. Unless otherwise specified, the time of day for the following events shall be between 9:00 a.m. and 12:00 p.m., Central Time. The Department reserves the right, at its sole discretion, to adjust this schedule, as it deems necessary. Notification of any adjustment to the Schedule of Events shall be posted on the Department's website at www.dhr.alabama.gov as detailed in Section 1.5.3 of this RFP. Vendors should refer to the website periodically for changes to the RFP.

EVENT	DATE
RFP Issue Date.....	<i>April 27, 2010</i>
Deadline for Receipt of Written Questions.....	<i>May 04, 2010</i>
Deadline for Posting of Written Responses to Questions	<i>May 11, 2010</i>
Proposal Due Date	<i>May 21, 2010</i>
Initial Evaluation of Proposals	<i>May 25-June 02, 2010</i>
Selection of Vendors Likely to be considered for a Contract	<i>June 03, 2010</i>
Notification of Vendor Interviews/Product Demonstrations	<i>June 03, 2010</i>
Vendor Interviews/Product Demonstrations.....	<i>June 09, 2010</i>
Intended Date for Notice of Intent to Award a Contract	<i>June 10, 2010</i>
Contract emailed to the Vendor.....	<i>June 10, 2010</i>
Contract returned to the Department	<i>June 14, 2010</i>

SECTION 1: PROJECT OVERVIEW AND INSTRUCTIONS

1.0 PROJECT OVERVIEW

The ALABAMA DEPARTMENT OF HUMAN RESOURCES, (hereinafter referred to as “the Department”), invites qualified Vendors to submit a proposal to deliver and implement a ***Child Care Time and Attendance System*** (TAS). The State is open to all responsible Vendor solutions for delivery of the TAS, including the transfer of a compatible system from another state and modifying it to meet Alabama-specific requirements or a custom-developed solution based on Alabama requirements.

The goal of this project is to provide clients receiving subsidized day care an automated method of checking their children in and out of day care centers and homes. A second but equally important goal is to automate the collection of this time and attendance data and import the data into the Department’s Child Care Management System (CCMS) in order to make timely and accurate payments to providers. Currently, the process requires providers to manually complete monthly reports of subsidized children’s attendance based on the provider’s login/logout sheets and submit these reports to the Child Care Management Agencies (CMA) for manual entry into the CCMS system. This is a laborious process, for both providers and CMA staff, and is prone to error.

The selected Vendor will be responsible for designing, developing, and implementing a TAS that uses Point-of-Service (POS) devices to capture basic data when a subsidized child care client swipes a card through the device. The Vendor must install these devices in all subsidized child care providers throughout the state and maintain the devices assuming full responsibility for repair and replacement. As new providers are added, the Vendor must install new POS devices as well as pick up devices for providers who are closed or inactive. Providers will be responsible for installing an Internet connection at their facility. The POS devices recommended by the Vendor must accommodate either an analog or digital internet connection and be able to meet response time thresholds as set out in the requirements.

At implementation, predefined data from CCMS will be transmitted to the Vendor’s host system for all clients in the CMA region being implemented. An updated eligibility file will be sent each day from CCMS to the host system. The Vendor will be responsible for issuing each client on the eligibility file a card that contains case/client information. The automated process envisioned here involves each client swiping a card on a POS device at his/her child’s day care provider at each check in/check out and having specified data (date, time in, time out, case name, provider name, etc.) transmitted from the POS device to the Vendor’s host system. When the case/client data is received by the host system, it will perform a series of basic validation steps to ensure that the case is open/active, the card is being used at the authorized provider, etc. The host system will immediately return a message either approving the transaction or rejecting/denying the transaction. Any rejection/denial message must provide a description to the client as to what caused the rejection/denial. The client will also be given the option of printing a transaction receipt. Each week, the host system must batch the time and attendance data it has received for that reporting period into a specified file format (*Appendix E*) and transmit it to the Department for input into CCMS. The CCMS will process the data and issue payments to providers in virtually the same manner as is currently being done. This section provides a high level overview of the project’s scope. A more complete description of the services sought for this project is provided in *Section 3, Scope of Project*.

1.1 CHILD CARE SERVICES DIVISION (CCSD)

The Department of Human Resources has been designated Alabama’s Lead Agency for the federal Child Care and Development Fund (CCDF). The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 amended section 418 of the Social Security Act to provide Federal child care funds to State Lead Agencies. The funds under section 418 are referred to by the Department of Health and Human Services as the Child Care and Development Fund (CCDF) to reflect the integration of multiple funding

sources. Within the Department, the organizational group having responsibility for child care related services is the Child Care Services Division (CCSD).

The CCSD's mission is to monitor child care facilities for safe healthy environments, as required by legislation and to provide accessible, affordable, quality child care to Alabama's families. The CCSD includes the office of Child Care Subsidy and the Office of Child Care Licensing.

1.1.1 OFFICE OF CHILD CARE LICENSING

The objective of the Office of Child Care Licensing is to promulgate *Minimum Standards* for licensure of day care and nighttime centers and family/group day care and nighttime homes. This Office is responsible for licensing day care and nighttime centers in the State of Alabama and family/group day care and nighttime homes in Jefferson County. In the remaining 66 counties, the county Departments of Human Resources license family/group day care and nighttime homes. *Minimum Standards* interpretations for all child day care and nighttime centers and homes are facilitated from the Office of Child Care Licensing. This Office also maintains required information filed by churches and religious schools choosing to be exempt from licensure.

Child day care centers in Alabama legally operate in one of two ways: Licensed or license exempt. All centers that require a license must be licensed by the Department of Human Resources and renewed every two years. The Department prescribes and enforces minimum standards for licensing approval. Consultation is provided to assist providers and parents. Every licensed center must be in compliance with licensing regulations as prescribed by the Alabama Department of Human Resources.

The CCSD's Office of Child Care Licensing is responsible for the following functions:

- A. Licensing day care/nighttime centers;
- B. Visiting day care/nighttime centers to verify compliance with Minimum Standards for Day Care Centers and Nighttime Centers;
- C. Maintaining information filed by churches choosing to be exempt from licensure;
- D. Investigating licensing violation complaints and recommending adverse action for day care centers when non-compliance of standards warrant;
- E. Offering consultation to prospective and existing day care/nighttime center providers;
- F. Interpreting Minimum Standards for day care/nighttime centers and homes; and
- G. Licensing day care/nighttime homes in Jefferson County.

1.1.2 OFFICE OF CHILD CARE SUBSIDY

The objective of the Office of Child Care Subsidy is to provide Alabama's low-income families with equal access to affordable and quality child care services. The subsidy eligibility program is administered regionally by four (4) Child Care Management Agencies (CMA) in nine (9) regions. The Department in accordance with federal regulations develops policies, rules and procedures for the subsidy program.

The objectives of the program are:

- A. To enable recipients of Family Assistance (FA) to engage in work and/or training activities through the Department's JOBS Program, and to transition off FA;
- B. To enable families to maintain suitable employment and/or to engage in other educational or training activities leading to employment;
- C. To protect children from actual, threatened or potential abuse or neglect;

- D. To support adults who provide foster care services for children for whom the Department has legal custody;
- A. To enable minor parents to remain in school and thereby avoid long-term welfare dependency; and,
- B. To promote quality child care services through quality enhancement initiatives.

The Subsidy Program provides a variety of quality enhancement initiatives to child care providers and their staff. The goal is to provide regional and statewide initiatives designed to enhance the quality of child care and to positively impact the early learning experiences of young children. Quality enhancement activities include, but are not limited to provider training, resource rooms/libraries, resource vans, nurse/health consultants, mentoring programs and scholarships for providers.

1.1.2.1 CHILD CARE SUBSIDY PROGRAM PROCESSES

The Department is responsible for directing and approving the development, implementation and administration of all services of the Child Care Subsidy Program (Subsidy Program), including:

- A. Interpreting federal and state laws, regulations and requirements;
- B. Establishing Program and funding priorities;
- C. Promulgating all rules, policies and procedures governing the services to be provided; and,
- D. Planning, coordinating and directing all Subsidy Program services.

In addition, the Department is the official point of contact for all federal or state departments and agencies, and other organizations whose scope extends nationally or statewide, desiring to collaborate on the delivery of the services; the official repository for official Subsidy Program data; and, solely responsible for releasing, distributing or otherwise publishing official Subsidy Program data.

1.1.2.2 ADMINISTRATION

The CCSD administers eligibility services of the Subsidy Program contractually through nine (9) regional Child Care Management Agencies (CMAs). The CMA catchment area consists of 5 to 13 counties. Subject to the Department's discretion the CMAs are responsible for the day-to-day operation of the Subsidy Program, including:

- A. Determining initial and continuing eligibility for services;
- B. Providing case management services;
- C. Documenting the delivery of services;
- D. Providing resource and referral for parents;
- E. Conducting fiscal and administrative monitoring of providers;
- F. Completing and submitting timely data and reports required by the Department; and,
- G. Providing the administrative services needed to effectively implement and carry out Subsidy Program services in a timely manner.

1.1.2.3 PROCESSES WITH FAMILIES

In order for a child to receive services, the child must be in need of, and eligible for, such services and the child's parent(s) must comply with all program requirements.

An initial determination of need and eligibility must be made for each child for whom services are requested. After initial eligibility has been determined, continuing eligibility must be established, and documented, no less frequently than six-month intervals thereafter.

The eligibility for services must be based on one of the following reasons:

- A. The parent(s) are gainfully employed for a minimum average of 15 hours per week;
- B. The parent(s) are attending a job training or educational program for a minimum average of 15 hours per week; or,
- C. The parent(s) are engaged in a combination of gainful employment and a job training or educational program for a minimum average of 15 hours per week; or,
- D. The child must be a recipient of or in need of protective services.

Other program requirements include:

- E. The child must be under the age of 13, or under the age of 19 and physically or mentally incapacitated;
- F. The child must reside on a permanent basis with a parent, who is a resident of the State of Alabama;
- G. The child must reside with a family whose total countable monthly income does not exceed income standard for a family of the same size;
- H. The child must be a U. S. citizen or a legal immigrant;
- I. The parent must pay any applicable parental fees.

In March 2010, 27,135 children, representing 14,282 families, received a subsidy reimbursement. The number of children and families vary from month to month. The average number of children served for FY2010 is 26,358.

Families participating in the Subsidy Program may choose from a variety of child care settings including child care centers (licensed and exempt from licensure), family day care homes, and group day care homes (*Section 7: Definitions*). A child may attend more than one child care facility within a day. A child may be authorized attendance at more than one child care facility for the same day or for varying days during the month. Some children may attend sporadically, only on holidays or school closures.

1.1.2.4 PROCESSES WITH PROVIDERS

Providers choosing to serve children eligible for the Child Care Subsidy Program must register with the Child Care Management Agency (CMA). Registration is an administrative process whereby a legally operating provider completes and signs a Provider Registration Form certifying to the CMA the provider's published policies and business practices used to provide child care services.

To be eligible to register and complete the registration process providers must:

- A. Be providing child care services legally, meaning the provider must be licensed, exempt from Alabama licensing requirements, or otherwise providing such services legally under Alabama Law;
- B. Comply with the criminal history checks required under Alabama Act No. 2000-775;
- C. Comply with federal and state regulations which require that parents have the right to free and unrestricted access to their child(ren) while in the care of the facility;
- D. Report any suspected incidences of child abuse and neglect to the Alabama Department of Human Resources or to law enforcement personnel;
- E. Collect the full amount of the parental co-payment assessed by the CMA from all parents of subsidized children; and
- F. Agree to operate within the constraints within which the Department authorizes parents to purchase care from the provider.

1.1.3 CURRENT AUTOMATION SUPPORT

Child Care Services Division Programs are currently supported by the Child Care Management System (CCMS). There are 133 system users located in various areas of the state (*Appendix I*). CCMS is used to assist the agency in the following ways:

- A. Keeps all service related data in one source;
- B. Offers a more streamlined method for information gathering;
- C. Automates features such as eligibility determination and care level updates;
- D. Generates reports and management tools directly from client and provider data; therefore, data only has to be maintained in one place; and,
- E. Provides licensing consultants with the ability to add and maintain provider licensing and exemption details.

Many of the features of CCMS are accessible by both Child Care Management Agency (CMA) and Department staff. There are limitations to functionality based on client data ownership. As such all user accounts are associated with either the Department or a CMA (Agency). Most report generating screens include an 'Agency' field which will default to the Agency ID associated with the user login. This will limit the data returned in the report to only data owned by that user's Agency. Department users have the ability to select a CMA from a list of values and view CMA region specific data. Each user is given their own User ID and Password. The User ID determines privileges to various menus within CCMS application. Only System Administrators have privileges to create User IDs and Passwords.

1.1.4 CHILD CARE MANAGEMENT SYSTEM (CCMS)

CCMS has been operational in Alabama since January 2000. The current version of CCMS is a web-enable version that utilizes a centralized database that has the capability of producing reports that contain real-time data. The web-enable version allows users to access the system using a common internet browser (Microsoft Internet Explorer). CCMS is comprised of several different modules which focus on a single business area. All features related to that business area are grouped together under the main module menus.

1.1.4.1 PROVIDER MODULE

The Provider module allows the user to add and maintain provider information including names, rates, addresses, contact names, and provider history. Additionally, this module contains features that allow maintenance activities like ID changes and various reports.

1.1.4.2 CLIENT MODULE

The Client module allows the user to add and maintain parent and child information including parent demographics, employment, eligibility, child enrollments, waiting lists, and various reports.

1.1.4.3 REIMBURSEMENT MODULE

The Reimbursement module allows the user to access the reimbursement period control features, provider reimbursements, and various reports.

1.1.4.4 AGENCY MODULE

The Agency module allows the user to add and maintain child care agency information including central agency, offices, counselors, caseload reassignment, and various reports.

1.1.4.5 FUNDER MODULE

The Funder module allows the user to add and maintain funder information including funding setup, period management, and utilization.

1.1.4.6 SYSTEM ADMINISTRATION MODULE

The System Administration module allows the user to access and maintain reference table information, application environment options, accounting interface details, and the broadcast message features.

1.1.4.7 SECURITY MODULE

The Security module allows authorized users to add new users to CCMS and maintain security roles for existing users.

1.1.4.8 CCRR MODULE

The Child Care Resource and Referral (CCRR) module allows authorized users to maintain provider details, gather client details, and provide families with a listing of providers who may meet their child care needs.

1.1.4.9 LICENSING MODULE

The Licensing module provides authorized users with the ability to add and maintain provider licensing and exemption details for the state wide provider base. Users have the ability to enter new providers, and maintain details of the provider records.

1.2 ELIGIBLE ENTITIES

Eligible entities may include governmental agencies, non-governmental public or private organizations and individuals who: 1) are legally authorized to conduct business within the State of Alabama; 2) possess a high degree of professional skill in the area of service described in this document to include: two (2) years experience working with government information systems project(s) and three (3) years experience with application design, development, and implementation of systems of similar size, scope, and complexity; 3) possess the skills needed to perform the services described in this RFP; and, 4) meet the terms and conditions of the RFP. In addition, applicants must demonstrate the ability to manage Department funds in accordance with Federal and State regulations and guidelines.

1.3 CONTRACT TERM

The contract term is for a period of *fourteen and half months* beginning *July 14, 2010* and ending *August 31, 2011*. Renewals of the contract, as agreed upon by both parties, may be made at **one**-year intervals, or any interval that is advantageous to the Department, not to exceed a total of **two (2)** years, at the option of the Department.

1.4 POINT OF CONTACT

From the date this Request for Proposal (RFP) is issued until the vendor selection is announced, all communication must be directed to the procurement officer in charge of this solicitation. **Vendors must not communicate with any Department staff or officials regarding this procurement with the exception of the procurement officer.** Any unauthorized contact will disqualify the Vendor from further consideration. Contact information for the point of contact is as follows:

Starr Stewart, Director
Office of Procurement
Alabama Department of Human Resources
50 Ripley Street, Room 2344
Montgomery, AL 36130-4000
Telephone Number: (334) 353-4744
E-mail Address: starr.stewart@dhr.alabama.gov

1.5 REQUIRED REVIEW

1.5.1 REVIEW RFP

Vendors should carefully review the instructions, mandatory and general requirements, project specifications, and the standard terms and conditions in this RFP. After a thorough review of the RFP, if the Vendor identifies any ambiguity, inconsistency, unduly restrictive specifications, or error, promptly notify the procurement officer identified above in writing, via e-mail or courier by the deadline for receipt of questions as stated in the Schedule of Events.

1.5.2 VENDOR'S QUESTIONS

Vendors with questions or requiring clarification regarding any section of this RFP must reference the RFP by title and number and submit written questions via e-mail or courier to the procurement officer referenced above by 3:00 p.m. (CST) **Tuesday, May 04, 2010**. Each question must reference the section, page, and item in question. Vendors must submit all questions posed in a single email message to the procurement officer. Questions received after the deadline will not be considered.

1.5.3 DEPARTMENT'S RESPONSES

The Department will provide an official written answer by the close of business (5:00 p.m. CST) on **Tuesday, May 11, 2010** to all questions received by the deadline on **May 04, 2010**. The Department's response will either provide clarification of the applicable issue or be in the form of a correction to this RFP. Vendor questions and the Department's responses, as well as any formal written addendum will be posted on the Department's website at www.dhr.alabama.gov by the close of business on the date listed.

1.6 MANDATORY REQUIREMENTS

All requirements described in this RFP are considered mandatory. The Department will determine whether a Vendor's proposal complies with the requirements. Proposals that do not meet all requirements listed in this RFP may be subject to point reductions during the evaluation process or may be deemed non-responsive. Proposals that do not meet the requirements 1.6.1 through 1.6.5 will be deemed non-responsive and no other consideration will be given. **DO NOT ALTER ANY OF THE FORMS LISTED BELOW OR OTHERWISE INCLUDED/REQUIRED IN THIS DOCUMENT.**

1.6.1 DEADLINE FOR RECEIPT OF PROPOSALS

Proposals must adhere to the format requirements and must be received by the deadline for receipt of proposals as specified in the Schedule of Events and Section 1.8.1 *Required Copies and Deadline for Receipt of Proposals*.

1.6.2 LEGAL STATUS LETTER OR TAXPAYER IDENTIFICATION VERIFICATION

Vendors must include a legible copy of their taxpayer identification letter from the Internal Revenue Service. If the legal status letter is not available, a completed and signed copy of the **"Request for Taxpayer Identification Number"** form (*Appendix B*) must be included.

1.6.3 DISCLOSURE STATEMENT

Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000. Disclosure Statements may be downloaded from the State Purchasing website at www.purchasing.alabama.gov for completion. Vendors must include a completed copy of the Disclosure Statement in their proposal.

1.6.4 IMMIGRATION STATUS FORM

Vendors must submit a signed copy of the immigration status form with their proposal.

1.6.5 AUTHORIZED VENDOR SIGNATORY

Vendors must provide an original proposal using the format described, with an original signature of person(s) legally authorized to bind the applicant to the proposal.

1.7 GENERAL REQUIREMENTS

1.7.1 ACCEPTANCE OF STANDARD TERMS AND CONDITIONS

By submitting a response to this RFP, Vendor agrees to acceptance of the standard terms and conditions of this RFP. Requests for additions or exceptions to the standard terms and conditions including any necessary licenses, or any added provisions must be submitted to the procurement officer by the due date for receipt of written questions and must be accompanied by an explanation of why the exception is being sought and what specific effect it will have on the Vendor's ability to respond to the RFP or perform the contract.

***Note:** The Department reserves the right to not enter into a new contract with a current vendor who is under a corrective action plan until all corrective requirements have been met.*

1.7.2 UNDERSTANDING OF SPECIFICATIONS AND REQUIREMENTS

By submitting a response to this RFP, Vendor agrees to an understanding of and compliance with the specifications and requirements described in this RFP.

1.7.3 PRIME CONTRACTOR/SUBCONTRACTORS

The prime contractor if a contract is awarded shall be responsible, in total, for all work of any subcontractors. All subcontractors, if any, must be listed in the proposal. The contractor shall not assign, transfer or subcontract any portion of the contract without the written consent of the Department. The Contractor shall be responsible to the Department for the acts and omissions of all subcontractors or agents and of persons directly or indirectly employed by such subcontractors, and for the acts and omissions of persons employed directly by the Contractor. Any awards made as a result of this document will create a contractual relationship between the Contractor and the Department, not the subcontractor.

1.7.4 VENDOR'S SIGNATURE

An individual authorized to legally bind the organization submitting the proposal must sign the original proposal in ink. The Vendor's signature on a proposal in response to this RFP guarantees that the offer has been established without collusion that would preclude the Department from obtaining the best possible service for the best possible price.

1.8 SUBMITTING A PROPOSAL

1.8.1 REQUIRED COPIES AND DEADLINE FOR RECEIPT OF PROPOSALS

Vendors must submit **one (1)** original proposal, **seven (7)** copies and **one (1)** electronic (PDF preferred) copy on CD or DVD clearly labeled with the Vendor's name and the RFP title and number to:

**Starr Stewart, Office of Procurement
Alabama Department of Human Resources
Gordon Persons Building, Room 2344
50 Ripley Street
Montgomery, AL 36130-4000**

Proposals must subscribe to the section/subsection headings and numbering format as specified in *Section 4 Proposal Format and Instructions*. Proposals must be sealed and labeled on the outside of the package to clearly indicate that they are in response to the ***Child Care Time and Attendance System RFP# 2010-200-01***.

Proposals must be received at the receptionist's desk of Policy, Planning and Research by 12:00 p.m., local time, Friday, May 21, 2010. Proposals may be hand delivered two business (Monday-Friday) days prior to the due date, between the hours of 9:00 a.m. -12:00 p.m. (with the exception of state and federal holidays). Faxed and electronically submitted responses to requests for proposals are NOT accepted.

1.8.2 FAILURE TO COMPLY WITH INSTRUCTIONS

Vendors failing to comply with these instructions may be deemed non-responsive or subject to point deductions. The Department may also choose to not evaluate, and disqualify from further consideration any proposals that do not follow the format described in Section 4: *Proposal Format and Instructions*, are difficult to understand or read, or are missing any requested information.

1.8.3 PRICE SHEETS

Vendors ***must*** respond to this RFP by utilizing the RFP Price Sheets found in *Appendix I*. These price sheets will be used as the primary representation of each Vendor's cost/price, and will be used extensively during proposal evaluations. Additional information should be included as necessary to explain in detail the Vendor's cost/price.

1.8.4 TIMELY SUBMITTED PROPOSALS

All timely submitted proposals and materials received in response to this RFP become the property of the Department and will be incorporated into any formal documentation and/or contract resulting from this RFP between the Department and the Vendor.

1.8.5 MULTIPLE PROPOSALS

Vendors may only participate in a single proposal in response to this RFP, either as prime contractor or subcontractor. If multiple proposals are received, in which a Vendor is proposed as either prime or subcontractor, all proposals including said Vendor will be deemed non-responsive and excluded from consideration. Subcontractors work effort and price must be incorporated in the prime contractor's technical and cost proposals.

1.8.6 LATE PROPOSALS

Regardless of cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall be the Vendor's sole risk to assure delivery at the receptionist's desk at the designated office by the designated time. Late proposals will not be opened and may be returned to the Vendor at the expense of the Vendor or destroyed if requested.

SECTION 2: STANDARD INFORMATION

2.0 AUTHORITY

This RFP is issued under the authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3rd Sp. Sess., p 817, §1.). Any awards resulting from this RFP will be made based on stated evaluation criteria. The weight assigned to each criterion denotes the relative importance of that criterion. No criteria, other than that identified in this RFP, will be used.

2.1 VENDOR COMPETITION

In accordance with 45 CFR 74.43, the Department encourages free and open competition among Vendors. Whenever possible, the Department will design specifications, proposal requests, and conditions to accomplish this objective, consistent with the necessity to satisfy the Department's need to procure technically sound, cost-effective services and supplies.

2.2 NONDISCRIMINATION

In accordance with 45 CFR 74.44, no person shall be excluded from participation in, be denied benefits of, be discriminated against in the admission or access to, or be discriminated against in treatment or employment in the Department's contracted programs or activities on the grounds of handicap and/or disability, age, race, color, religion, sex, national origin, or any other classification protected by Federal or Alabama State Constitutional or statutory law; nor shall they be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of contracts with the Department or in the employment practices of the Department's contractors. Accordingly, all Vendors entering into contracts with the Department shall, upon request, be required to show proof of such nondiscrimination and to post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.

2.3 IMMIGRATION STATUS

Vendor's authorized person(s) within the agency must sign and submit *Appendix D* on the immigration status of all workers to be employed for the services described in this procurement. Vendors must attest that all workers will be citizens of the United States or at the time of employment will be in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

2.4 PROPOSAL EFFECTIVE PERIOD

All proposals submitted in response to this RFP shall be effective for a 180-day period following the deadline for receipt of proposals as specified in the Schedule of Events and may not be modified, withdrawn or canceled by the Vendor during this period.

2.5 TRADE SECRETS

As part of the initial evaluation, the procurement officer in charge of this solicitation will review proposals received in response to this RFP, for any information deemed a "trade secret" by the vendor and separate identified parts of proposal from public viewing providing the following conditions have been met: (1) confidential information is clearly marked and separated from the rest of the proposal; (2) the proposal does not contain confidential material in the cost or price section; and (3) an affidavit from a Vendor's legal counsel attesting to and explaining the validity of the trade secret claim is attached to each proposal containing trade secrets. If applicable, the Vendor's Legal Counsel must use the Department of Human Resources "Affidavit for Trade Secret Confidentiality" form when requesting the trade secret claim. The affidavit form (*Appendix C*) is included in this document.

Information separated out under this process will be available for review only by the procurement officer, the evaluation committee members, and limited other designees. Vendors must be prepared to pay all legal costs and fees associated with defending a claim for confidentiality in the event of a “right to know” (open records) request from another party.

2.6 PRE-SCREENING AND EVALUATION OF PROPOSALS

2.6.1 PRE-SCREENING

During the pre-screening, proposals will be reviewed to ensure compliance with all general and mandatory requirements. Upon completion of this initial review they will be classified “responsive” or “non-responsive”. However; proposals may be found non-responsive at any time during the evaluation process if the proposal does not meet the formatting requirements specified in the RFP; if any of the required information is not provided; or the submitted price is found to be excessive or inadequate as measured by criteria stated in the RFP. Proposals declared non-responsive, will not receive further consideration.

2.6.2 EVALUATION OF PROPOSALS

All responsive proposals will be evaluated against the stated criteria. However, this does not preclude the Department from any discussions/negotiations or requests for a best and final offer that it may deem necessary to assist in determining the Vendor. In scoring against stated criteria, the Department may consider such factors as accepted industry standards and a comparative evaluation of all other qualified RFP responses in terms of differing price, quality, and contractual factors to determine the most advantageous offering to the Department.

2.7 DISCUSSION/NEGOTIATION AND/OR ORAL PRESENTATION/PRODUCT DEMONSTRATION

After receipt of all proposals and prior to the determination of the award, the Department may initiate discussions with one or more Vendors should clarification or negotiation be necessary. Vendors may also be required to make an oral presentation and/or product demonstration to clarify their RFP response or to further define their offer. In either case, Vendors should be prepared to send qualified personnel to **Montgomery, Alabama**, to discuss technical and contractual aspects of the proposal. Oral presentations and product demonstrations, if requested, shall be at the Vendor’s expense.

2.8 BEST AND FINAL OFFER

The Department reserves the right to request a “best and final offer” for this RFP based on price/cost alone, from one or more Vendors if additional information is required to make a final decision. Vendors may be contacted asking that they submit their “best and final offer,” which must include any and all discussed and/or negotiated changes.

2.9 PUBLIC REQUESTS FOR INFORMATION

All information received in response to this RFP, including copyrighted material, is deemed public information and will be made available to the public upon requests shortly after the signing of a contract(s) with the exception of: (1) trade secrets meeting the requirements of the Alabama Trade Secrets Act, that have been properly marked, separated, and documented; and (2) any financial information requested by the Department, unless prior written consent has been given by the Vendor.

2.10 COST OF PREPARING A PROPOSAL

The Department is not liable for any expense incurred by the Vendor in the preparation and presentation of their proposal or any other costs incurred by the Vendor prior to execution of a contract. All costs are the responsibility of the Vendor.

2.11 DEPARTMENT'S RIGHTS RESERVED

While the Department has every intention to award a contract as a result of this RFP, issuance of the RFP in no way constitutes a commitment by the Department to award and execute a contract. Upon determination such actions would be in its best interest, the Department, in its sole discretion, reserves the right to the following:

2.11.1 PRE-SELECTION DISCRETION

The Department reserves the right at its sole discretion, at any time and for any reason, to reject any or all of the proposals submitted in response to this RFP, or to cancel this RFP, if it is deemed by the Department to be in its best interest to do so.

2.11.2 POST-SELECTION DISCRETION

Upon selection of a proposal, the Department reserves the right, at its sole discretion, at any time and for any reason, to change its decision with respect to the selection and to select another proposal, or to cancel the RFP, if it is deemed by the Department to be in its best interest to do so.

2.11.3 WAIVERS

Notwithstanding the amendment provisions otherwise set forth herein, the Department reserves the right at its sole discretion, to waive any minor irregularity in an otherwise valid proposal which would not jeopardize the overall program and to award a contract on the basis of such a waiver in the event the Department determines that such award is in the best interest of the Department. Minor irregularities are those which will not have a significant adverse effect on the overall program cost or performance.

2.11.4 NEGOTIATIONS

The Department reserves the right to negotiate with any vendor whose proposal is within the competitive range, as specified in the RFP with respect to technical plan and cost, as well as to select a vendor other than the vendor offering the lowest price.

2.11.5 ADOPTION OF IDEAS

The Department reserves the right to adopt to its use all or any part, of a vendor's proposal and to use any idea or all ideas presented in a proposal.

2.11.6 ORAL PRESENTATIONS

The Department reserves the right to require some or all of the vendors to provide oral presentations of their proposals.

2.11.7 AMENDMENTS

The Department reserves the right to amend the RFP. Except as provided above with respect to "WAIVERS" made by the Department, all amendments to the RFP will be made by written addendum issued by the Department and posted to the web at www.dhr.alabama.gov under this RFP link.

2.11.8 NO GUARANTEE OF CONTRACT

Selection of a proposal shall not be binding upon the Department and may or may not, at the Department's sole discretion, result in the Department entering into a contract with the vendor if it is in the best interest of Department not to proceed with contract execution.

2.11.9 RIGHT TO INVESTIGATE AND REJECT

The Department may make investigations as deemed necessary to determine the ability of the Vendor to perform the services specified. The Department reserves the right to reject any proposal if the evidence submitted by, or investigation of, the Vendor fails to satisfy the Department that the Vendor is properly

qualified to carry out the obligations of the contract. This includes the Department's ability to reject the proposal based on negative references.

2.11.10 DISCLAIMER

Issuance of this RFP does not constitute a commitment by the Department to select any proposal submitted in response to the RFP, or to award a contract to any vendor who responds to this RFP.

Note: All contracts awarded by this Department are subject to review and approval by the Legislative Oversight Committee and the Governor's Office.

SECTION 3: SCOPE OF PROJECT

3.0 SCOPE OF PROJECT

This section outlines the expected project tasks for the TAS along with the deliverables to be produced by the Vendor. The Vendor may propose a project approach that is based on different tasks so long as the underlying activities are completed and the required deliverables are produced. In the event that the Vendor proposes additional deliverables it feels are necessary to meet the Department's requirements within their proposed methodology, such deliverables must be clearly documented in its proposal. The Vendor may, with the Department's approval, consolidate related deliverables into a single document as long as each deliverable is adequately addressed and clearly delineated so that the Department can easily determine which deliverables are included. As a part of its overall proposed project schedule/plan, the Vendor must provide dates for each of the deliverables set out below. The deliverables are meant to serve as project milestones and the Department must approve each deliverable to ensure that the Vendor is adhering to the Department's requirements.

All work performed by the Vendor during the project will be monitored and reviewed by the Department or its designated agent(s). All completed work must be in conformance with the TAS requirements set forth in *Section 3: Scope of Project* of this RFP and the resultant contract. Department staff will review all work after it is completed and submitted by the Vendor in accordance with the following:

- A. Completed deliverables and all supporting documentation shall be submitted for review and approval by the Department on or before the dates specified in the project plan. The Department has provided descriptive text for deliverables in this section. The text provides specifics of what the Department expects to see in the deliverables but this list should not be considered exhaustive. The Vendor is expected to provide context appropriate content for each deliverable.
- B. Department personnel shall review each deliverable submitted by the Vendor and shall determine within ten (10) business days of receipt whether or not the deliverable is acceptable based on the specifications set forth in the RFP. The Department reserves the right to add additional review time, not to exceed a total of twenty (20) business days total, to any deliverable submitted by the Vendor that exceeds two hundred (200) pages, including supporting documentation.
- C. The Department Project Director will notify the Vendor in writing when a deliverable is accepted by the Department.
- D. If a deliverable or any portion of a deliverable is not acceptable to the Department, the Department Project Director shall notify the Vendor in writing. The written notice shall contain a detailed explanation of the deficiency(ies) leading to the Department's rejection. From the point the notice of deficiency is submitted, the Vendor shall have five (5) business days to cure the deficiency(ies) and resubmit the deliverable to the Department. The Department shall review the resubmitted deliverable within five (5) business days and communicate its acceptance or rejection to the Vendor.
- E. The Vendor's repeated failure to timely submit acceptable deliverables shall be adequate cause for the Department to exercise the penalty provisions of the contract up to and including termination.

3.0.1 PHASE 1: PROJECT MANAGEMENT

A project such as the TAS will require the coordination of skilled information technology professionals and effective communications both within the project organization and to external stakeholders. The following ongoing project management activities focus on ensuring that project resources are used efficiently and that the project outcome delivers the desired product. Required deliverables:

A. Project Schedule/Work Plan

A detailed project schedule, preferably produced using Microsoft Project 2007, describing the various

project tasks, durations, estimated start and completion dates, actual start and completion dates, critical paths, resources, dependencies, completion percentages, and milestones;

B. Project Staffing Plan

Plan that describes in detail how the Vendor plans to staff the project and includes an overview of the various positions, skill sets, experience requirements, and percentage of time spent on-site vs. off-site;

C. Project Risk Management Plan

Plan that details project risks from the Vendor's perspective and proposes strategies for managing and mitigating these risks.

Deliverables identified above (Phase 1 – A, B, C) are due within 45 days of project initiation.

D. Weekly Work Plan/Schedule Updates

Vendor will maintain the project schedule/work plan ensuring that it is updated at least weekly with the progress of the team.

E. Weekly Status Report

Vendor will produce a weekly status report that provides an overview of the status of the project and a summary of key events from the prior week as well as a look ahead at key events in the upcoming week.

3.0.2 PHASE 2: REQUIREMENTS DETERMINATION

At completion of this task, the project team will have a clear understanding of the system requirements and will have defined the core components to be retained, removed, or added to any foundation system. Using the requirements in *Section 3: Scope of Project*, the Vendor will validate the requirements with Department staff to ensure that the Vendor's understanding of the requirements conforms to that of the Department. Business process workflows should be completed during this phase as well as the development and maintenance of a requirements traceability matrix that tracks each requirement through the system development lifecycle.

Required deliverables:

A. Revised Requirements Document

Vendor will produce updated requirements as a result of the requirements validation process.

B. Business Process Workflows

Vendor, working closely with CCSD staff, will produce comprehensive business process workflows to ensure that the system integrates properly with current CCSD processes.

C. Requirements Traceability Matrix

Vendor will produce and maintain this matrix to track the system's requirements through design, development, testing, and implementation.

D. Base System Gap Analysis

If, the selected Vendor uses an existing system as a base for the Alabama project, this task is required. This step requires the Vendor to complete an analysis of its proposed system and the Alabama requirements and identify any gaps and develop a plan for how to address these gaps.

E. Base System to TAS Transition Plan

The transition plan must describe in detail how the Vendor intends to transition from the base system to the new application, specifically laying out strategies for addressing the gaps identified in the Base System Gap Analysis.

3.0.3 PHASE 3: SYSTEM DESIGN

The Vendor must produce the following design documents that provide a high level overview of how the Vendor intends to meet the validated requirements. Required deliverables:

A. Preliminary Design

The Preliminary Design must include descriptions of the application, assumptions and constraints, an

approach overview, functional specifications/requirements for the systems and sub-systems, approaches to meet the requirements, design variants and selection of design.

B. Infrastructure Design

The Infrastructure Design must detail the system's infrastructure including details on all hardware used, software systems, communications links, and any redundancy provided for any of these.

C. Security Design

The Security Design provides an overview of the system's security approach, including details on the various user security profiles, permissions associated with each profile, and an overview of security for data in transit between the POS device and the host system.

D. Data Exchange Design

The Data Exchange Design provides a detailed analysis of the data that must be exchanged between the CCMS and the TAS. The design must include the data requirements, exchange frequency, exchange protocol, and any other pertinent information as a part of this process. As set out in the requirements, the Department envisions three file transfers occurring between the two systems:

- E. Daily eligibility file transmission from CCMS to TAS – provides a new/updated eligibility file to TAS each day with any new providers, clients/children, changes in eligibility, etc., so that TAS will have current information for use in handling POS swipes;
- F. Weekly time and attendance file transmission from TAS to CCMS – provides a weekly snapshot of time and attendance information to DHR;
- G. Monthly reimbursement file transmission from CCMS to TAS – provides data to TAS regarding each provider's reimbursement amount for the month; this information will be updated in the TAS and available for inquiry by providers via the provider website.

3.0.4 PHASE 4: TESTING

During the testing phase of the project, the Vendor must conduct tests to ensure that the TAS meets all of the requirements as detailed in *Section 3: Scope of Project*, including the performance requirements for analog and digital internet connections at provider sites. The comprehensive testing must cover all systems/software to be used by DHR, providers, clients, Vendor Help Desk staff, and specifically includes the POS devices, the provider website, the administrative terminal, and the administrative response unit (ARU). Required deliverables:

A. Master Test Plan

The Master Test Plan describes the overall testing process and timelines for the project, including comprehensive testing of all the functionality in the system, testing the file creation and transfer process for the various files that must be transferred between CCMS and TAS, performance/response time testing from both analog and digital provider locations, and defines the major testing phases and linkages between the test activities, resources, and schedules.

B. Load/Performance Test Plan

The Load/Performance Test Plan details the procedures utilized in testing the TAS to ensure that it meets all applicable performance requirements. The plan must include steps for testing the POS devices from multiple provider locations, as selected by DHR, with at least 2 tests conducted at provider sites per Internet connection type (i.e. analog and digital).

C. System Integration Test Plan

The Vendor must provide its System Integration Test (SIT) plan, including detailed test scripts, to the Department. The plan must contain clear exit criteria in accordance with the Master Test Plan as detailed above. The Department will utilize the SIT scripts as a basis for constructing its own user acceptance testing (UAT) test plan and scripts.

D. Testing Completion Certification

When integration and acceptance testing is complete, it will be possible to assess the testing results and make appropriate changes. In order to be determined ready for pilot, the Vendor must resolve any issues identified during Department led user acceptance testing (UAT). Once the system has been tuned, it will be possible to certify the system as being ready for pilot.

3.0.5 PHASE 5: TRAINING AND CULTURAL CHANGE MANAGEMENT

Based on the TAS system design, the Vendor, working closely with CCSD, will develop system documentation and training materials, including user training documentation, for CCSD Department office staff, CMA staff, providers, and clients. The Vendor will work with DHR to develop detailed plans, documentation, procedures, and presentation materials for conducting training of the new TAS. Any self-directed training curriculum (e.g. computer-based training (CBT), videos, etc.) proposed must be comprehensive and policy-based and will be used both to train new DHR employees, CMA staff, providers, and clients, and as refresher training for veteran staff. All self-directed training modules must be made available to users via the Internet. All written training materials must be written in easy to understand language, at a fifth grade reading level. Training videos should be directed to a fifth grade education level, be no more than 15 minutes in length, and cover the same topics as the written training materials. Required deliverables:

A. Master Training Plan

The Master Training Plan will detail the training locations, activities, resources, and timelines associated with training the various user groups on the use of the TAS. This deliverable should also include the Vendor's plans and approach for conducting ongoing training for new providers, CMA staff, and clients.

B. Training Curriculum/Materials

The various training curriculum used on this project must be approved in advance by the Department. Curriculum/materials include all written training guides/manuals, CBT, videos, etc.

C. Training Schedule

The Department requires a detailed training schedule that meets the requirement of training users within four weeks of system implementation. The schedule must include the date and time of the training, identify the users to be trained, training locations, names of trainers conducting the training, duration of training, type training curriculum/materials to be used, and any other pertinent information.

D. Training Completion Certificate

This deliverable is due at the point all training has been completed for all TAS users statewide, including CCSD Department Office staff, CMA staff, providers, and clients. The deliverable must summarize the training just concluded and address any issues that were encountered and identify any issues that remain outstanding.

E. Quick Reference Guide

The Vendor must produce a specific quick reference guide (QRG) for each group of TAS users:

1. CCSD Department Office staff;
2. CMA staff;
3. Providers; and
4. Clients.

F. System User Manual

The Vendor must produce a specific comprehensive system user manual, complete with screen prints (where appropriate), for each group of TAS users:

1. CCSD Department Office staff;
2. CMA staff;
3. Providers;
4. Clients.

G. Online Help

The Vendor must provide a design document detailing its approach for meeting the requirement for online help in the TAS; this deliverable must include context sensitive screen and field level online help messages.

3.0.6 PHASE 6: PILOT AND IMPLEMENTATION

The Vendor must detail its approach in performing all of the tasks necessary to prepare for pilot operations and ultimately statewide implementation. Required deliverables:

A. Pilot Implementation Plan

The Pilot Implementation Plan details the approach for pilot operations and also contains an overview of its processes for handling problem identification and resolution, gathering feedback from pilot sites, quality control procedures, etc.

B. Help Desk Plan

The Vendor will be responsible for providing a help desk and end user support services beginning with the initiation of pilot. The Help Desk Plan must define and document help desk processes and procedures and describe the staffing plan to meet the support needs of TAS users beginning at pilot and moving forward through statewide implementation. The help desk will be responsible for monitoring the resolution of problems and escalating problems that are not being addressed in a timely manner. The help desk must contact the reporting user before closing any problem report.

C. Pilot Completion Certificate

This deliverable is due at the conclusion of a successful pilot implementation. Problems encountered during the pilot must be identified and resolved prior to the deliverable being completed. Any problems unable to be completed prior to this point must be discussed in detail along with the Vendor's approach and timeline for resolving. The approval of this deliverable indicates that the system is ready to move forward to general implementation.

D. General Implementation Plan

This deliverable details the plan for implementing the system in the remaining CMA regions following a successful pilot. The plan discusses any outstanding issues or changes that should be made to training, implementation support, help desk, etc., learned as a result of pilot. The implementation plan must follow the CMA implementation order set out in the requirements and provide dates for the various activities and tasks to be completed as well as any dependencies.

E. CMA Readiness Certification

This deliverable describes the activities that the Vendor completed in preparing each CMA region for implementation. This deliverable is due for each of the CMA regions prior to a region being implemented. The Department must approve each deliverable before implementation of a region can commence. The deliverable must include, at a minimum, the following:

1. Overview of the training provided to DHR staff, CMA staff, providers, and clients, including the total number of staff trained.
2. Description of the POS devices installed by provider location.
3. Certification that all POS devices installed as part of the rollout were tested to ensure connectivity and all functionality present.
4. Certification that all necessary user accounts set up and security enabled for each user.
5. Description of any known issues or problems with the rollout.
6. Certification that, in the Vendor's opinion, the CMA region is ready to implement.

3.0.7 PHASE 7:SUPPORT AND MAINTAIN NEW SYSTEM

The Vendor will warrant that system is compliant with the requirements set out in this document, *Section 3: Scope of Project*, and any other requirements mutually agreed to by the parties during the term of this Contract. In the event that any such defects or omissions are discovered, the Vendor will fix them at no additional cost for the duration of the Contract. System defects, as defined in this context, are defects that are identified either

prior to or following statewide implementation, that result in the system not meeting one or more requirements as set out in *Section 3: Scope of Project*.

3.1 GENERAL TECHNICAL REQUIREMENTS

3.1.1 GENERAL TECHNICAL REQUIREMENTS

- A. The TAS must be completely hosted on vendor network.
- B. The vendor must install all hardware, point of sale (POS) devices, etc., required for TAS as part of its proposed solution. DHR will not provide any hardware for this project.
(**Note:** Providers are responsible for establishing an Internet connection and any electrical points of connection needed in their facility(ies) in order to accommodate the POS device(s). Providers are also responsible for selecting a reasonably safe area where the POS is to be located. However, any dedicated communication lines that may be required between the vendor and DHR are the responsibility of the vendor.)
- C. The vendor must install POS devices in each of the provider locations as described in *Appendix F*.
- D. POS devices must meet the following minimum requirements:
 - 1. Able to read data from magnetic stripe cards;
 - 2. Transmit data over analog or digital phone line;
 - 3. Print transaction receipts;
 - 4. Have a keypad for entering PIN.
- E. One (1) POS device must be installed for each 50 subsidy children in a provider site as described below:

<u># of Subsidy Children</u>	<u># of POS Devices</u>
1 – 50	1
51 – 100	2
101 – 150	3
151 – 200	4
201 – 250	5
251 – 300	6

- F. The POS device must function with either an analog or digital Internet connection (e.g. Dial-up, cable, DSL, Internet).
- G. The vendor must install the required number of POS device(s) at any new provider within 3 business days of being notified of the new provider.
- H. The vendor must retrieve all POS devices from a closed provider within 5 days of being notified of the closure by DHR.
- I. The vendor must repair and replace, as necessary, all POS devices installed in provider locations.
- J. The vendor must assume full responsibility for ongoing maintenance of all POS devices for the duration of the contract. This responsibility includes training providers on how to replace ink cartridges, tape/paper, etc., as well as ensuring that each provider has an adequate supply of tape/paper, ink, etc.
- K. The vendor must provide and staff a help desk to assist providers and clients who are experiencing problems with a POS device.
 - 1. The vendor may request providers perform basic diagnosis procedures to determine if equipment repair or replacement is necessary.
 - 2. The vendor technician must complete repair/replacement within the following timeframes:
 - a. Within 24 hours of first provider contact for providers with more than 100 subsidy children;
 - b. Within 48 hours in all other provider locations.
- L. The vendor must maintain a history of POS device installations, replacements, and repairs.
 - 1. The vendor must provide weekly reports of replacements, repairs, installations, or removals of POS devices to DHR with the following:
 - a. Service call type (repair, replacement, removal, new installation)

- b. Date
 - c. Provider Name
 - d. Provider Address
 - e. POS Device Model Number
 - f. Description of repair
- M. The vendor must replace any POS device after it has been repaired 5 times. Routine maintenance tasks are not considered repairs.
- N. The vendor must maintain a sufficient inventory of POS devices to ensure timely replacement of defective devices as well as new installations.
- O. The TAS infrastructure must have redundancy and automatic failover for all hardware assets, excluding POS devices.
- P. The TAS must employ load balancing capabilities.
- Q. The TAS must be designed to be easily scalable to allow for growth in the volume of transactions being processed.
- R. The TAS must be capable of processing point-of-service transactions of up to 3,400 remote sites for up to 29,000 children each day, and be sized and configured to allow for growth of 5% per year while still meeting all response time requirements.
- S. The TAS must keep the most recent 18 months transaction history online and available for inquiry and viewing by DHR or providers.
- T. The TAS must meet the following response times:
(**Note:** For this requirement, response time is defined as the amount of time from a card swipe, button press, etc., that initiates a transaction until the transaction is posted and the cursor/prompt returns for the user to take another action.)
- 1. For POS devices:
 - a. Less than 2 seconds for providers with a digital Internet connection;
 - b. Less than 5 seconds for providers with an analog Internet connection.
 - 2. For the TAS administrative terminal and the provider website:
 - a. Less than 3 seconds.
 - 3. The vendor must produce monthly reports to verify that response time requirements are being met.
- U. The TAS must maintain a backup program as security against disaster, including daily, weekly, and monthly backups on all data files.
- 1. The vendor must keep, at a minimum, the most recent 7 daily backup files, the most recent 5 weekly backup files, and the most recent 12 monthly backup files.
- V. All TAS pages/screens must be designed to allow the user to cancel the function being performed prior to the submit/update/save button being pressed.
- W. The POS device software must be intuitive, guiding providers and clients through every step of each process with minimal training required.
- X. The POS device software must include a “training/demo mode” that allows for practice without transmitting any data while in training/demo mode.
- Y. The POS device must frequently contact the host system for keeping the date/time synchronized between the host and the POS devices.
- Z. The TAS must provide comprehensive online help and keep it updated throughout the duration of the contract.

3.1.2 GENERAL TAS REQUIREMENTS

The TAS must allow clients to swipe their cards only at the POS device(s) located at their authorized provider(s).

- A. The TAS must allow a child to be enrolled in multiple providers at the same time.
- B. The TAS must allow a child to be swiped at multiple providers on the same day.

- C. The POS device must require the client to take the following actions after swiping his/her card:
(**Note:** The vendor may propose a modified series of steps provided that all required information is captured.)
1. Enter PIN;
 2. Select the attendance indicator (check in, check out);
 3. Select the name(s) of child(ren) being checked in/out;
 4. Select whether transaction is for a prior period swipe;
 - a. If yes, then client must designate the date (up to 10 days in past);
 5. Press <ENTER> to submit transaction, or <CANCEL> to cancel transaction.
- D. In addition to the data provided by the client, the TAS will automatically capture the following data at each swipe:
1. Card number of card swiped;
 2. Date of swipe;
 3. Time of swipe;
 4. Client ID;
 5. Child(ren) ID (for each child checked in/out); (child ID is the child's SSN)
 6. Child(ren) unique ID (for each child checked in/out);
 7. Provider ID and extension (location);
 8. POS device number where card swiped;
- E. When the client swipes his/her card and enters data at the POS device, the data must be immediately submitted to the TAS which will perform the following validation checks:
1. Was correct PIN entered?
 - a. If not, has maximum PIN attempts been exceeded?
 2. Does provider have an active registration?
 3. Is card authorized for this location?
 4. Is client's case active?
- Note:** TAS data for conducting these validation checks will be provided via file transfer of relevant data from DHR's CCMS system. An initial update of data will occur at the time a provider's CMA region is implemented. Subsequently, daily file transfers will keep the data updated with the most recent data from CCMS.
- F. The TAS must deny the transaction with the appropriate error message displayed on POS device if any of the above checks are not met.
- G. The TAS must categorize a transaction as either:
1. Pending – when the connection between the POS device and the TAS is not active, the data captured during the transaction must be stored on the POS device and automatically transmitted to the TAS when the connection is restored.
 2. Accepted – the TAS must return a message to the POS device display notifying client of approved transaction.
 3. Rejected – the TAS must return a message to the POS device display indicating the specific reason for the rejection (e.g., closed case, invalid PIN, etc.).
 4. All pending and rejection messages shall be reversed highlighted on the POS device display and the transaction receipt.
- H. The POS device must allow the client to print a transaction receipt on request.
- I. The POS device must automatically print a receipt when a transaction is rejected, pending, or there is a broadcast message for this client.
- J. The transaction receipt must include the following data:
1. Daily sequence number;
 2. Child name;
 3. Child number (Last 4 digits of SSN);
 4. Attendance indicator (check in, check out);
 5. Client ID (Last 4 digits of SSN);

6. Transaction number;
 7. Date of swipe;
 8. Time of swipe;
 9. Unit of care type in effect (Full Time or Part Time);
 10. Care level currently in effect (e.g. infant/toddler, preschool, school);
 11. Static co-pay amount currently in effect;
 12. Status message from TAS, indicating transaction success or a failure reason for this child;
 13. Optional information message meant for the provider/parent/child.
- K. If the host system is offline at the time of a TAS card swipe, the POS device will save the data described above locally on the POS device and the POS device will automatically forward this information to the host system once it is back online. This process shall be referred to as a pending transaction.
1. When a pending transaction is completed, a modified receipt must be automatically printed containing the following data:
 - a. A message indicating the transaction was saved as a pending transaction;
 - b. TAS card number (with all but the last 4 digits masked);
 - c. In/Out Indicator, indicating attendance type selected;
 - d. Transaction date;
 - e. Transaction time;
 - f. Client ID (Last 4 digits of SSN);
 - g. Child IDs for all children checked in/out (Last 4 digits of SSN);
 - h. Provider ID and Extension (Last 4 digits of FEIN);
 - i. Sequence number of the saved transaction that will be sent to the host.
 2. When a pending transaction is completed, the POS device must display a message that the host system is offline but the transaction data has been saved and will be automatically forwarded to the host when the host is online.
 3. Pending transactions must be sent to the host system automatically along with the next transaction request, transmitted on the same phone call but just before the actual transaction being processed.
 4. TAS must also allow the provider the option of transmitting the pending transaction(s) immediately, without initiating another transaction request.
 5. Pending transactions must also be forwarded automatically after 2 minutes of POS idle time on the main screen (i.e. no user key presses or swipes).
 6. After 2 days of being offline from the host system, the POS device will begin alerting the provider to upload pended transactions.
 7. Transactions may be pended on the POS device for up to 90 days.
 8. TAS must not process any pended transactions over 90 days old.
- L. Each POS device must transmit the data captured at each client swipe to the TAS application servers on a near real-time basis.
- M. The vendor must encrypt all data being transmitted between any POS device and the TAS and vice versa.
- N. The TAS must create a file on a weekly basis of time and attendance information collected from the POS devices and transmit the file to DHR.
1. The time and attendance file must be created weekly at a date/time to be determined by DHR.
 2. The data included on each time and attendance file will be from the prior week. (i.e. the time and attendance data will be data collected one week prior to the date the file is being produced).
(**Note:** The week is defined as Monday through Sunday.)
 3. The time and attendance file must be transmitted to DHR weekly at a date/time to be determined by DHR.
 4. The time and attendance file must meet the file layout specifications described in *Appendix E*.
- O. The TAS must allow for prior period swipes of a card for situations when the client forgot his/her card the prior day, someone other than the cardholder dropped off/picked up the child(ren), etc.

1. The TAS must allow prior period swipes up to 10 days in the past.
- P. The TAS must allow adjustments to attendance information up to 10 days in the past.
- Q. The TAS must maintain an audit trail of changes made to TAS data in the host system.
 1. The following metadata must be captured in the audit trail for each change to TAS data:
 - a. Date of change;
 - b. Time of change;
 - c. Old value;
 - d. New value;
 - e. User ID of person making change.
- R. Vendor staff or subcontractors must carry identification provided by the vendor and must present the verification to providers prior to entering provider facilities.
- S. The TAS must allow for reprinting a transaction receipt from a POS device.
- T. The vendor must provide and maintain a provider website meeting the following minimum requirements:
 1. Website must be available via Internet;
 2. Site must be up 24 hours per day, 7 days per week, 365 days per year unless DHR has preapproved a scheduled maintenance outage which will occur during off peak hours as determined by DHR;
 3. Site must capture and maintain provider e-mail addresses and transmit, via batch file, addresses to DHR;
 4. Vendor must use industry best security practices and allow providers to manage account specific information such as E-mail, PIN, Secret Question / Answer for password reset;
 5. Allow providers with multiple sites to access all site accounts without the need to reenter the website;
 6. Provide links to DHR specified sites;
 7. Publish and allow DHR forms for child care providers to be accessed and printed;
 8. Provide access to real-time swipe data;
 9. Allow providers to view adjustment data;
 10. Allow providers to view/modify manual claim information;
 11. Provide reports for providers to use in reconciliation that list time and attendance data for the provider logged into the website;
 - a. Reports should be sortable by:

A.T.11.a.1	Client name;
A.T.11.a.2	Client ID (last 4 digits);
A.T.11.a.3	Date.
 - b. Reports should contain at least the following data:

A.T.11.b.1	Client name;
A.T.11.b.2	Client ID (last 4 digits);
A.T.11.b.3	Child name;
A.T.11.b.4	Dates of swipes.
 - c. Reports that provide the necessary data required for determining swipe exceptions.
 - d. Reports must be available in "printer friendly" format.
 12. Site must be security protected to ensure providers only have access to their information.
- U. The POS terminal shall provide "on demand" case/authorization inquiry abilities. A provider may input a case number and the POS terminal will provide the following information for each child on the case in receipt format:
 1. Client ID;
 2. Client name;
 3. Child(ren) ID;
 4. Child name;
 5. Enrollment date;
 6. Co-payment amount;

7. Full-time/part-time rates.

B. Administrative Terminal Requirements

- A. The TAS must include an administrative terminal type function that allows authorized DHR users access to TAS data.
1. The administrative terminal must be accessed via a web browser.
 2. Access to the administrative terminal will be limited to designated staff as determined by DHR.
(Note: Currently, the number of staff needing this access is 29 (18 CMA, 7 CCSD, 4 ISD). DHR does not anticipate this number drastically fluctuating.)
 3. Designated users of the administrative must be provided a user ID and password.
 4. The administrative terminal user passwords must be reset every 90 days.
 5. The administrative terminal user account must be locked if a user enters 3 incorrect passwords.
 6. The administrative terminal users must be forced to change their default password on first use.
 7. The administrative terminal session will time out after 30 minutes and require user authentication to resume.
 8. For security purposes, user passwords may not be viewable by any staff, including system administrators.
- B. The administrative terminal must allow authorized DHR users to:
1. Complete adjustments to time and attendance information from a provider;
 - a. Adjustments should be allowed to TAS data as far back as the start of the current fiscal year;
(Note: Fiscal year runs from October 1 through September 30).
 2. Cancel/deactivate a lost, stolen, or non-functioning card; the cancellation/deactivation must be updated immediately so that the system will not allow a swipe at any POS device after the card has been cancelled/deactivated;
 3. Issue a new card;
 4. Issue a replacement card;
 5. Link a card to an account;
 6. Reset administrative terminal user passwords;
 7. Design, run and print provider queries;
 8. Design, run, and print transaction inquiries;
 9. Conduct a case search;
 10. Conduct an authorization search;
 11. Conduct a cardholder search;
 12. Conduct a transaction history inquiry;
 13. Complete a manual claim entry;
 14. Review existing claims;
 15. Complete an adjustment to time and attendance data;
 16. Review adjustments to time and attendance data; the adjustment page/screen must provide at least the following:
 - a. Authorization/case/provider name;
 - b. Provider ID and Extension;
 - c. User ID of person completing the adjustment;
 - d. Reason for adjustment.
 17. Run online reports;
 18. View/update TAS user security;
 19. Produce and print an audit history of updates to a specific case/client;
 20. Produce and broadcast messages that display on the TAS POS devices for:
 - a. A specific case/client;
 - b. A group of cases/clients;
 - c. A specific provider;
 - d. A group of providers;
 - e. All clients;

f. All providers.

21. Maintain broadcast message history in the TAS;
22. View and print a card history for a case/client including the reason for replacement for each new card;
23. Disable a provider's POS device.

C. TAS Card Requirements

- A. The vendor is responsible for either producing cards or having cards produced for all child care subsidy clients.
- B. The vendor must mail a new card to the client within 3 business days of a new client or new child update to the system via the interface from CCMS.
- C. The vendor must produce and mail a new TAS card to the client within 3 business days of a replacement card being requested.
- D. The vendor must not charge a fee for new or replacement cards.
- E. The existing PIN must be transferred to the replacement card unless the client specifically requests a new PIN.
- F. The notification of the PIN assigned to the account/card shall be mailed separately from the new or replacement card.
- G. The TAS must allow for a secondary cardholder on an account and provide the secondary card its own unique card number and PIN.
 1. The secondary card should include the primary client's name and account number.
- H. Clients must be allowed to change their PIN via the automated response unit (ARU).
- I. DHR reserves the right to design/redesign the proposed card to include DHR specified graphics, logos, etc.
- J. Any redesign or change to cards must be approved in advance by DHR.
- K. The following information must be printed on the card:
 1. Client name
 2. Card account number
 3. Toll free number(s) for client assistance
 4. Address for lost cards to be returned
 5. Signature panel

D. Help Desk Requirements

- A. The vendor must provide an automated response unit (ARU), available via a toll-free number, to provide the following automated services for clients:
 1. Reset PIN;
 2. Receive new PIN;
 3. Change existing PIN.
- B. The vendor must ensure that the ARU meets the following service level requirements (measured over 1 calendar month period):
 1. 99% of calls answered within 4 rings (25 secs);
 2. Remaining 1% within 35 secs.
- C. The vendor must produce reports from the ARU to confirm the SLA standards are being met.
 1. These reports must be delivered to DHR on a monthly basis.
- D. The vendor must establish and maintain a help desk within the continental US to provide support to DHR, providers, and clients via a toll-free number.
 1. The help desk must meet the following requirements:
 - a. Be available 24 hours per day, 7 days per week, 52 weeks per year;
 - b. Answer questions from DHR, providers, or clients related to any part of the TAS, the POS device, lost/stolen cards, and any other issue relating to the TAS system.
 - c. Core hours for services such as provider onsite installations, repairs, etc. shall be 8am – 5pm CST, Monday through Friday;
 - d. Have the ability to answer questions/provide support fluently in English and Spanish;

- e. Provide DHR with the ability to monitor live calls coming to help desk;
 - f. Record calls for DHR to review;
 - g. Track support calls using a comprehensive issue tracking and resolution software system;
 - h. Produce statistical reports from the issue tracking system to show compliance with the service level requirements;
 - i. 98% of calls must be answered within 25 secs;
 - j. Remaining 2% of calls must be answered within 40 secs;
 - k. Callers must not be on hold for longer than 3 minutes;
 - l. Help desk services provided to DHR, its clients, and providers free of charge, with no additional fees to be paid by DHR, its clients, or providers;
 - m. Operated and staffed in an industry standard manner that is fully described in the vendor's response and subject to approval by DHR;
 - n. Provides access controls that ensure security of both providers and client's information;
 - o. Supports TTY (Teletypewriter) capability.
2. Ninety-five percent (95%) of all TAS system issues must be resolved within 24 hrs of being reported.
 - a. Vendor must describe procedures for resolving issues that can't be resolved within 24 hours.
 3. Vendor must train help desk staff prior to being assigned to the help desk.

E. Reports Requirements

- A. The vendor must produce the following reports:
 1. Attendance Transaction Report – report of every POS transaction per site per week; must be sortable by county and/or CMA region; also must be a summary report for all activity statewide.
 2. Unmatched Check-In Report – report of children checked in but not checked out;
 3. Monthly Billing File - a monthly list and count of active authorizations;
 4. Batch Processing Reports - standard set of daily batch processing reports to be used by the vendor and DHR to ensure the complete and accurate transfer of data during nightly batch processing;
 5. Batch Exception Reports - a daily batch exception report for all batch files sent by DHR; reports will contain a listing of all records received within a batch, which were not processed by the vendor; each record included on the exception report will have a corresponding reason code indicating the cause of the rejection;
 6. Card Issuance/Re-issuance Reports - monthly audit and statistical reports of cards being issued and reissued to clients; audit reports shall provide detail data by card issued, such as reason for issuance (i.e., initial issuance or replacement for lost/stolen card); statistical reports shall provide data needed to manage the program, such as the card reissue rate, the reasons for re-issuance, etc.
 7. Card Inactivity Report - weekly report of cards that have had no activity starting after 2 consecutive weeks; the report shall list the card only once and the number of days it has been in inactive status;
 8. Transaction Denial Summary Reports - monthly statistical report that provides the number and percentage of client transactions denied and the reason for the denials (i.e., invalid authorization, invalid PIN, etc.);
 9. System Availability Report - monthly report of the TAS up and down time;
 10. Monthly Client Help Desk Statistics - monthly report shall provide a summary of the number of calls received on the help desk by reason (authorization inquiry, payment issue, etc.) for both ARU (client only) and help desk (provider and client);
 11. Monthly Provider Help Desk Statistics - this monthly report shall provide a summary of the number of calls received on the help desk by reason (POS problems, settlement questions, etc.); statistics regarding provider help tickets, including number of tickets opened, tickets closed, and reason for ticket, shall be provided; daily statistics regarding the help desk performance (i.e., number of calls, number of rings before answered, number of abandoned calls, number of busy signals received) shall be collected and reported.
 12. Network Statistics Report - monthly report providing a summary of transactions by time of day and day of month; the purpose of the report is to show the peak processing time for the TAS system;

13. Management Statistics Report - monthly summary report of transaction activity at a county, CMA and Department level; statistics provided should include, at a minimum, attendance for the previous month, transactions performed, the number of active cases on the system, number of active cards on the system, and the number of cards issued during the month;
 14. Access Definition Report - monthly report detailing each currently authorized administrative terminal user with the ability to access the TAS data including identifying users with multiple profiles; the report shall also detail the level of access afforded the user through the administrative terminal;
 15. Failed Logon Report - daily report of users failing in their attempt to logon to the system and the reason for the failure;
 16. Ad-Hoc Reports - the vendor shall support requests for ad-hoc reports on a timely basis. The Vendor shall provide in its response the process to be used to request ad-hoc reports and the expected timeframe in which the request will be satisfied;
 17. Equipment Report – weekly report of POS devices at each provider location that were installed, repaired, removed, and replaced;
 18. Pending Transactions – a weekly report of all transactions pending for more than 30 days.
- B. Vendor must distribute reports daily, weekly, monthly, quarterly, and yearly based on DHR requirements.
 - C. All reports must be available online and be able to be printed in printer friendly format.
 - D. The TAS must keep the most recent 30 daily reports and the current year plus previous fiscal year monthly reports online and available to authorized users.
 - E. The TAS must retransmit/reproduce prior reports on request.
 - F. The vendor must provide training on reports to DHR staff.

F. Training Requirements

- A. The vendor is responsible for the training of all DHR staff, CMA staff, providers, and clients on the use of all aspects of the TAS see *Appendix I* for details.
- B. The vendor must provide initial and ongoing training of DHR workers on the use of POS devices, provider web site, and the administrative terminal. Ongoing training may consist of refresher training for existing staff or training for new DHR employees.
- C. The vendor must provide training for clients on how to use the POS devices.
- D. The vendor must train providers on use of POS devices and the provider web site.
- E. The vendor must complete all initial training no more than 4 weeks prior to implementation of the TAS in any CMA region.
- F. The vendor must ensure that all training is done with a “hands on” approach, using equipment and software of the same type that will be used in the TAS.
- G. The vendor must train providers and clients in separate groups at initial implementation.
 1. After initial implementation, training should be conducted onsite at each new provider location as new POS Devices are installed or new workers are hired.
 - a. Providers must sign off that they received training and understand how to use POS devices.
 - b. The vendor must deliver all signed training documents to DHR.
- H. The vendor must report all suspected child abuse and neglect to DHR.
- I. The vendor must send a customer service/satisfaction survey to a randomly selected 25% of providers following installation. The QA/customer satisfaction reports must be provided to DHR monthly. This report is due monthly during pilot and implementation and quarterly after full implementation.
- J. The vendor must produce a Quick Reference Guide (QRG) of commonly used functions/features. QRGs must be produced with appropriate content for DHR staff, providers, and clients.
- K. The vendor must produce detailed user manuals for the POS devices, the provider web site, as well as the administrative terminal.
- L. The vendor must provide all updates and revisions to training materials within 14 days of the change to the TAS necessitating the update or revision.

G. Implementation Requirements

- A. The vendor must implement the TAS as follows:
1. Pre-Pilot implementation testing with DHR selected provider(s);
 2. Pilot implementation with Huntsville and Ft. Payne CMA regions;
 3. TAS implemented in remaining CMA regions in following order:
 - a. Montgomery
 - b. Dothan
 - c. Mobile
 - d. Tuscaloosa
 - e. Opelika / Talladega
 - f. Birmingham

SECTION 4: PROPOSAL FORMAT AND INSTRUCTIONS

4.0 PROPOSAL REQUIREMENTS

Proposals must meet all requirements as specified in this RFP. Proposals must incorporate the specified structure and format; must be clear, detailed, and complete as to fully demonstrate that the prospective Vendor has a thorough understanding of the requirements for providing the services for this procurement. statements that the Vendor understands, acknowledges, or can comply with the requirements/specifications and statements paraphrasing the specifications are considered inadequate as are phrases such as “industry standards will be adhered to” and/or “standard procedures will be implemented”, or “research-based models will be used”. Proposals must clearly and adequately describe the concepts and methodologies to be implemented by the Vendor. Information must be clear, succinct, and easily understandable.

4.1 COMPLETENESS OF PROPOSALS

Selection(s) and award(s) will be based on the Vendor’s proposal and other items described in this RFP. Proposals should not include references to information located elsewhere, such as Internet websites. Information or materials presented by Vendors outside the formal response or subsequent discussion/negotiation or “best and final offer,” if requested, will not be considered, will have no bearing on any award, and may result in the Vendor being disqualified from further consideration.

4.2 PROPOSAL FORMAT

Proposals must be single-spaced, incorporating 1-inch margins, typed using Times New Roman (font), size 12. Proposals must be printed/copied onto one side of standard (8½ x 11) white typing/copier paper. Paragraphs must be double-spaced. All proposals must include labeled tabs that correspond with the bolded sections (i.e., 4.2.2 Table of Content, 4.2.5.1.1 Vendor Profile and Experience, etc.) and subsections to which the information pertains. ***Do not use tabs with the paper inserts.*** Vendors should avoid the use of elaborate presentations and binding materials beyond that which is sufficient to present complete and effective proposals.

4.2.1 COVER SHEET

The first page of each proposal must be the completed **Cover Sheet** (RFP cover sheet) with an original ink signature of the person(s) legally authorized to bind the vendor to the proposal. **Proposals without signatures of persons legally authorized to bind the vendor to the proposal will be rejected.** The cover sheet must also include the name of the contact person and contact information of the person authorized to act on behalf of the vendor (do not number this page). Vendors must also provide their Federal Employer Identification Number. The vendor must denote the original proposal and copies by placing a check in the appropriate box on the cover sheet.

4.2.2 TABLE OF CONTENTS

The Cover Sheet should be followed by the **“Table of Contents”**, which should list all sections, subsections and page numbers. Numbering of the proposal pages should begin with page 1 of the Table of Contents. Page numbers should be placed in the left corner of the bottom margin.

4.2.3 LEGAL STATUS FORM/TAXPAYER IDENTIFICATION NUMBER

The Table of Contents must be followed by a copy of the **Legal Status Form**. This form is issued by the IRS and denotes an organization’s legal status (i.e., non-profit, for-profit, corporation, etc.) and includes the Federal Employee Identification Number (FEIN). If the Legal Status Form is not available, a completed and signed copy of the **“Request for Taxpayer Identification Number”** form (*Appendix B*) must be included. All items on this form must be completed. (Do not number this page).

4.2.4 LICENSES/CERTIFICATES/CREDENTIALS

The Request for Taxpayer Identification Number form should be followed by a copy of all required **Licenses, Certificates, and/or Credentials** or a copy of a completed license application form submitted by the deadline specified in this RFP.

4.2.5 TECHNICAL PROPOSAL

Copies of Licenses/Certificates/Credentials should be followed by the **Technical Proposal**. The Technical Proposal must prescribe to sections **4.2.5.1** through **4.2.5.4.6** below.

4.2.5.1 VENDOR QUALIFYING INFORMATION

4.2.5.1.1 Vendor Profile

Vendors must: a) state their full company or corporate name and give the address of the organization's headquarters; b) list all names it has used when conducting business; c) specify how the entity is organized (proprietorship, partnership, corporation); d) specify the Department in which the Vendor is incorporated or otherwise organized to do business; e) specify the year in which the Vendor was first organized to do business, identify major changes in the form of organization (such as by subsequent incorporation, merger, or other organizational change) and prior names of the organization; f) provide a description and names of the organization's governing board of directors and the names, titles and responsibilities of all officers, identifying those who are authorized to negotiate a contract with the Department and who have responsibilities and accountability for the contract; g) identify by name, business address and telephone number all owners, partners or stockholders who own ten percent or more of the organization; identify any corporation owning ten percent or more of the organization, identify the corporation and its chief executive officer and chief financial officer; and identify any change in ownership or control of the company is anticipated, describe the circumstances of such change and indicate when the change will likely occur.

4.2.5.1.2 Vendor's Qualifications and Direct Experience

Vendors must describe in detail their corporate experience within the last five (5) years directly related to the proposed contract, including all relevant processing systems experience, other large-scale government database and transaction processing systems, and system transfer and development.

a) Summary of Vendor's Corporate Experience

Vendors must include a summary matrix, which lists previous Vendor projects similar to the TAS project in size, scope, and complexity. Each column of the matrix must contain the project identifier at the top, and a mark ("x") in each cell opposite the Vendor-determined experience categories applicable to the work performed by the Vendor on that project. For each experience category marked, the narrative should identify the most significant accomplishments, findings, or results. The Vendor shall also provide narrative descriptions of each project to highlight the similarities between its experience and the TAS project and to expand on the notations on the matrix. Vendor and Subcontractor experience shall be listed separately.

b) Project Narrative Descriptions

For each project (not to exceed 1 page per project) offered as experience related to the TAS development, the Vendor shall provide:

- ✓ A narrative of the work performed;
- ✓ The time period of the project (dates); and
- ✓ A customer reference (including name, current phone number, contract number).

The narrative must complement and expand on the summary information provided in the matrix of the previous section. Each project must identify whether the work was performed as a Prime Contractor or as a Subcontractor. If the work was performed as a Subcontractor, the description must identify the number of hours allocated, share of contract costs and project tasks and responsibilities performed as a Subcontractor. All

current projects must also include a brief statement of the scope of the project, including length of the contract period and staffing levels committed.

Separate narrative descriptions must be submitted for Subcontractors and must be specifically identified as Subcontractor projects.

4.2.5.1.3 Subcontractor(s)

For each proposed subcontracting firm, the Vendor must provide the following information (referencing the subsections in sequence):

- a) Subcontracting firm name;
- b) Complete address of the subcontractor;
- c) Project tasks to be conducted by the subcontractor;
- d) Percentage of total project and task-specific work the subcontractor will be providing;
- e) A written statement, signed by each proposed subcontractor, that clearly verifies that the subcontractor is committed to render the services required by the contract;
- f) Three references for the subcontractor as outlined for the Prime Vendor in RFP Section 4.2.5.1.4 below. At a minimum, one of the references should be for projects of similar size and scope where the subcontractor has provided products or services similar to those proposed;
- g) A list, if any, of all current Subcontractor contractual relationships with the State of Alabama and all those completed within the previous three-year period, as outlined for the Prime Vendor in RFP Section 4.2.5.1.5 below;
- h) Resumes of key subcontractor staff to be assigned to the TAS project;
- i) Method of monitoring subcontractor's progress on deliverables.

4.2.5.1.4 References

Proposing Vendors must provide a minimum of three (3) references for projects of similar size and scope for which the Vendor served as the prime contractor or system developer and implementer, preferably within the last five (5) years. These references may be contacted to verify Vendor's ability to perform the contract. The Department reserves the right to use any information or additional references deemed necessary to establish the ability of the Vendor to perform the conditions of the contract. Negative references may be grounds for proposal disqualification.

For each reference, the Vendor shall provide (referencing the subsections in sequence):

- a) The company name of the reference;
- b) The location where the services were provided (city, state);
- c) Primary and secondary contact name, title, telephone number, and e-mail address of the client reference;
- d) A complete description of the project;
- e) Description of the Vendor's role in the project;
- f) Beginning and end dates of the project;
- g) Maximum number of Vendor staff assigned to project at one time;
- h) List of any Vendor-supplied contract staff also expected to be assigned to the proposed TAS project, their roles in the referenced client contract, and start and end dates of their individual involvement.

4.2.5.1.5 Past and Present Contractual Relationships with the State

In addition to the three required references as set out in Section 4.2.5.1.4 above, the Vendor shall provide a list, if any, of all current contractual relationships with the State of Alabama including colleges/universities and all those completed within the previous three-year period. If the Vendor, its predecessor, or any party named in the Vendor's responses to this Section has contracted with any department within the State of Alabama during the past three years, identify the contract number and/or other information available to identify such contract(s).

For this section, the Vendor must provide (referencing the subsections in sequence):

- a) Contract number;
- b) Time period of the project and/or contract;
- c) Procuring state agency;
- d) Description of project;
- e) Description of Vendor's role in project;
- f) Total contract dollars awarded to Vendor;
- g) Maximum number of Vendor staff assigned to project at one time;
- h) List of any Vendor-supplied contract staff also expected to be assigned to the proposed TAS project, their roles in the previous state contract, start and end dates of their individual involvement;
- i) State contact name and telephone number for each reference.

If no such contracts exist, so declare. If any party named in the Vendor's response to this RFP was an employee of the state in the past two years, identify the individual(s) by name, state agency by which employed, job title of position held with the state, and separation date. If no such relationship exists, so declare.

4.2.5.1.6 Relationships to Department's Employees

If any owner or key employee of the Vendor is related by blood or marriage to any employee of the Department (including all its organizational parts), identify each such owner or employee, nature of relationship, and name of the employee to whom related. If no such relationship exists, so declare. If any employee, of any agency of the State sits on the governing board of Vendor, as of the due date for proposal submission specified herein, Sec identify all such persons by name, position held with the Vendor, and position held with the State (including job title and agency). Describe the responsibilities of such persons within the Vendor organization. If, after review of this information by the Department, it is determined that a conflict of interest exists or may exist, the Vendor may be disqualified from further consideration in this procurement. If no such relationship exists, so declare.

4.2.5.1.7 Contract Performance

If the Vendor, or any proposed Subcontractor, has had a contract terminated for default during the past five years, all such instances must be described as discussed below. Termination for default is defined as notice to stop performance delivery due to the Vendor's nonperformance or poor performance and the issue was either (a) not litigated due to inaction on the part of the Vendor; or (b) litigated and such litigation determined the Vendor to be in default. Submit full details of all terminations for default experienced by the Vendor during the past five years, including the other party's name, address, and telephone number. Present the Vendor's position on the matter. The Department shall evaluate the facts and may, at its sole discretion, reject the Vendor's proposal if the facts discovered indicate that completion of a contract resulting from this RFP may be jeopardized by selection of the Vendor. If the Vendor has experienced no such terminations for default in the past five years, so declare. If at any time during the past five years, the Vendor has had a contract terminated for convenience, non-allocation of funds, or any other reason, which termination occurred before completion of all obligations under the initial contract provisions, describe fully all such terminations including the name and address of the other contracting party and the circumstances surrounding the termination. If no such early terminations have occurred, so declare.

Failure to report on the foregoing or if the information furnished is determined to be inaccurate, whether by omission or commission, shall result in rejection of the Vendor's Proposal.

Note: No points will be assigned to proposals submitted by new or current vendors who have performed their contractual obligations satisfactorily. However, current vendors who have performed unsatisfactorily may experience point deductions up to a maximum of 10 points.

4.2.5.1.8 Project Staff/Resumes/Job Descriptions

The Vendor must submit a resume or job description detailing the level of education, experience, training, skills, etc. which emphasizes previous experience in the service area as described in this RFP for all key personnel who will be involved with the proposed project. The Vendor must provide a project organization chart, which identifies the proposed project team, and personnel that would be assigned to this contract.

Provide one organization chart for the transition phase and one for the ongoing operations phase.

The Vendor must indicate that it has sufficient staff to perform the services required in this RFP, if sufficient staff is not currently available, describe how staff will be obtained to provide the services and the timeline for obtaining the needed staff. List all professional licenses held by the vendor.

For each management and staff position shown in the project organizational chart, the following must be provided (referencing the subsections in sequence):

- a) Title;
- b) Description of Project Role and Responsibilities;
- c) Percentage of time assigned to TAS project;
- d) Percentage of time to be spent in Montgomery, AL;

For the key positions, the following must be included:

- e) Resume detailing the individual's relevant project experience as it relates to this RFP;
- f) Designation of the individual as a contract employee (compensation paid by an organization other than the Vendor submitting this proposal) or staff (compensation paid by the Vendor submitting this proposal);
- g) Two references, listing project description, individual role, dates of assignment, and primary and secondary contact email and phone.

4.2.5.1.9 Staff Performance Evaluations and Training

Vendors must describe its staff development program regarding orientation, on-going staff evaluation and training that will be implemented throughout the contract period to ensure delivery of effective services that adhere to the Department's required performance standards.

4.2.5.1.10 Background Checks

Describe in detail the steps that the Vendor will take to ensure that none of its staff, regardless of level, has been the subject of any incident or investigation which would call into question the propriety of that employee's working with this project. Describe your organization's general procedure for addressing occurrences when an incident or allegation is reported, founded or unfounded.

4.2.5.2 VENDOR FINANCIAL STABILITY

Separate financial statements must be submitted by the Vendor and by each of its subcontractors as specified in this Section. If the Vendor/subcontractor is a publicly held corporation, enclose a copy of the corporation's most recent three years of audited financial reports, financial statements and notes to the financial statements and the name, address, and telephone number of a responsible representative of the corporation's principle financial or banking organization and financial audit firm.

If the Vendor/subcontractor is not a publicly held corporation, financial statements shall be provided as specified with the preceding paragraph or for each of the last three years:

- ✓ Describe the Vendor or subcontractor organization, including size, longevity, client base, areas of specialization and expertise, and any other pertinent information in such a manner that evaluators may reasonably formulate a determination about the stability and financial strength of the Vendor organization;
- ✓ Provide a banking reference;
- ✓ Provide a credit rating and name the rating service; and
- ✓ Disclose any and all judgments, pending or expected litigation, or other real potential financial reversals, which might affect the viability or stability of the Vendor or subcontractor organization; or certify that no such condition is known to exist.

4.2.5.3 TAS SYSTEM DESCRIPTION/ SERVICE DELIVERY APPROACH

The Vendor must provide a detailed description of the work plan and the methods to be used that will meet the requirements identified in *Section 3: Scope of Work*, the timeframes necessary to accomplish the work, and how the work will be accomplished.

4.2.5.3.1 Start-up Plan

The Vendor must include a detailed project schedule that is comprised of the detailed work plan for the entire project. This section should also include any proposed additions to the tasks outlined in the *Section 3: Scope of Work*.

4.2.5.3.2 Assessment of Benefits and Impact

Describe the process that Vendor will use to assess the proposed services to determine if the expected benefits and their impact have occurred. Include on-going plans to continuously assess and modify services to better meet the needs of the target population. The assessment methodology should provide the Department with meaningful indicators that funded projects are making satisfactory progress toward desired goals.

4.2.5.3.3 Office Location

Vendors must provide the address of the Vendor's office location responsible for performance under a Contract with the Department in the event the Vendor becomes the Contractor.

4.2.5.4 VENDOR CERTIFICATIONS

Vendors must submit a statement attesting that they warrant and represent to the Department that the vendor accepts and agrees with all certifications and terms and conditions of this RFP. Further, by submitting a response to this RFP, the vendor certifies to the Department that they are legally authorized to conduct business within the Department of Alabama and to carry out the services described in this document.

4.2.5.4.1 Revolving Door Policy

Vendors must attest that neither the vendor nor any of the vendor's trustees, officers, directors, agents, servants or employees is a current employee of the Department, and none of the said individuals have been employees of the Department in violation of the revolving door prohibitions contained in the Department of Alabama ethics laws.

4.2.5.4.2 Debarment

Vendors must attest that neither the vendor nor any of the vendor's trustees, officers, directors, agents, servants or employees (whether paid or voluntary) is debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, "Debarment and Suspension."

4.2.5.4.3 Standard Contract

The vendor must agree to the use of the Department's standard contract document. The vendor will further comply with all the terms and conditions of that document, including, but not limited to, compliance with the Title VI of the Civil Rights Act of 1964, the Rehabilitation Act of 1973, as amended, the Americans with Disabilities Act, Alabama Act No. 2000-775 (governing individuals in direct service positions who have unsupervised access to children), the Health Insurance Portability and Accountability Act of 1996 (HIPAA) as applicable, and all other federal and Department laws, rules and regulations applicable to receiving funds from the Department to carry out the services described in this RFP. Further, any contract executed pursuant to the RFP must be subject to review by the Department's legal counsel as to its legality of form and compliance with Department contract laws, terms and conditions, and may further be subject to review by the Alabama Legislative Contract Review Committee, Examiners of Public Accounts, the Department Finance Director and the Office of the Governor.

4.2.5.4.4 Charitable Choice (applies to faith-based organizations only)

The vendor must attest that funds received as a result of this procurement will not be used for sectarian instruction, worship, proselytizing or for any other purely religious activities that are not directed toward the secular social goals related to the services described in this RFP. The vendor must agree to serve all eligible members of the public without regard to their religious beliefs and, further, must not require clients' active participation in any religious practice. (In carrying out the said services, the vendor will remain independent from federal, Department and local governments; will retain control over the expression of its religious beliefs, and is NOT required to remove its religious writings or symbols or to alter its internal governance as a condition of doing business with the Department.)

4.2.5.4.5 Financial Accounting

Vendors must agree that the vendor's accounting system will be consistent with General Accepted Governmental Accounting Principles (GAAP). The vendor must maintain sufficient financial accounting records documenting all funding sources and applicable expenditure of all funds from all sources.

4.2.5.4.6 Vendor Work Product

The Vendor must attest that the proposal submitted in response to this document is the work product of said vendor. If the proposal is determined not to be the work product of the vendor, the proposal may, at the Department's sole discretion, be rejected.

4.2.5.5 ATTACHMENTS

Vendors must include all applicable forms identified below as attachments (i.e., Attachment A, B, C, etc), applicable forms must follow the Technical Proposal. **DO NOT ALTER ANY OF THE FORMS LISTED BELOW OR OTHERWISE INCLUDED/REQUIRED IN THIS DOCUMENT.**

4.2.5.5.1 Disclosure Statement

The Technical Proposal must be followed by a completed copy of the **Disclosure Statement**.

4.2.5.5.2 Trade Secret Affidavit

The Disclosure Statement must be followed by a completed copy of the **Trade Secret Affidavit** (*Appendix D*), if applicable.

4.2.5.5.3 Immigration Status Form

The Trade Secret Affidavit must be followed by a completed copy of the **Immigration Status Form**. *All proposals must include the Immigration Status Form.*

SECTION 5: COST PROPOSAL

5.0 COST PROPOSAL

The Department will only accept firm and fixed cost bids for this project. Five percent (5%) will be held back from each deliverable payment. The holdback (a total of 5% of each deliverable payment) will be paid upon completion of the statewide implementation.

Vendors must use the Price Sheet Template (Parts I – VI), *Appendix J* to submit proposed costs. Vendors must include a statement on the last page of the cost proposal that verifies that the prices quoted shall be effective through the end of 2011. The Department shall not be responsible for any expenses of the Vendor. As such, the Vendor must include all expenses, including travel and lodging, when preparing their Cost Proposal.

5.1 PRICE SHEET TEMPLATE PART I: FIRM AND FIXED PROJECT COST

5.1.1 FIRM AND FIXED PROJECT COSTS

The Price Sheet Template Part I must be completed in full and must include both the Total Fixed Project Cost. The Vendor must include all expenses, including travel and lodging, when preparing their Cost Proposal.

5.1.2 PROJECT TASK VARIATION

The Price Sheet Template Part I must be modified to include tasks that adhere to the Project Work Plan proposed by the Vendor.

5.1.3 EFFECTIVE PERIOD

A statement must be included on each page of the Price Sheet Template Part I that verifies that the prices quoted shall be effective through September 30, 2011.

5.2 PRICE SHEET TEMPLATE PART II: HARDWARE AND SOFTWARE

Any hardware and software required to implement the Vendor solution must be listed in this template. This list must include a complete description of the hardware or software, its expected initial cost, and annual maintenance cost where applicable.

5.3 PRICE SHEET TEMPLATE PART III: HOURLY RATES

The project director during the course of the contract may identify additional work that was not included in the original scope of work but of importance to the progression of the project. Vendors must provide hourly rates for workers to apply for the calendar years 2010-2011. These rates should be classified by position; i.e., manager, developer, architect, etc.

The Department shall not be responsible for any expenses of the Vendor. As such, the Vendor must include all expenses, including travel and lodging, when submitting hourly rates for additional work.

5.4 PRICE SHEET TEMPLATE PART IV: ON-GOING MAINTENANCE

Vendor must identify per unit costs of on-going maintenance tasks associated with the project.

5.5 PRICE SHEET TEMPLATE PART V: OPTIONAL SERVICES

Vendors are encouraged to include pricing for optional services such as making payments to child care providers and direct depositing payments into a child care provider account. Vendors are also encouraged to identify means to reduce the costs of TAS services to the State or provide increased service (service that

exceeds the service requirements specified in Section 3, Scope of Project,) to the State and/or child care providers and clients. As part of the pricing schedules included in this section, Vendors have the opportunity to identify optional service offerings and cost reduction factors that would produce cost savings and/or improve service. The optional services should be provided in Appendix J, - Vendor Price Sheet, Part V. All cost savings should be expressed in terms of reduction to the TAS price, while service improvements should be reflected in terms of an increase to the TAS price.

5.6 PRICE SHEET TEMPLATE PART VI: SUMMARY

The Price Sheet Template Summary sums the three cost components to be used in Cost Proposal Evaluation: Total Fixed Project Cost (A), Total Initial Hardware and Software Cost (B), and Estimated Annual Hardware and Software Maintenance Cost (C).

SECTION 6: EVALUATION CRITERIA

6.0 EVALUATION CRITERIA

The evaluation committee will review and evaluate the proposals according to the following criteria based on a **maximum possible value of 1,000 points**. Proposals failing to meet the requirements of this RFP may be deemed non-responsive or subject to point deductions. The point value assigned to each component of the **Technical Proposal and Cost Proposal** will be based on the following scoring scale.

Category	RFP Section	Point Value
Vendor Qualifying Information	30% of points for a possible 300 points	
A. Vendor Profile	4.2.5.1.1	50
B. Vendor's Qualifications and Direct Experience	4.2.5.1.2	175
C. Subcontractors	4.2.5.1.3	0
D. References	4.2.5.1.4	0
E. Past and Present Contractual Relationships with the Department	4.2.5.1.5	0
F. Relationship to Department Employees	4.2.5.1.6	0
G. Project Staff/Resumes/Job Descriptions	4.2.5.1.7	25
H. Contract Performance	4.2.5.1.8	<i>To be Determined</i>
I. Staff Performance Evaluations and Training	4.2.5.1.9	25
J. Background Checks	4.2.5.1.10	10
K. Vendor Financial Stability	4.2.5.2	15
Method of Providing Services	50% of points for a possible 500 points	
A. Service Delivery Approach	4.2.5.3.1	400
B. Start-up Plan	4.2.5.3.2	75
C. Assessment of Benefits and Impact	4.2.5.3.3	25
D. Office Location	4.2.5.3.4	0
E. Vendor Certifications	4.2.5.4.	0
Cost Proposal	20% of points for a possible 200 points	
A. Cost Proposal	5.0	200

SECTION 7: DEFINITIONS

1. **Time and Attendance Tracking System (TAS)** – the name of the system that captures time and attendance data from subsidized child care clients across the Department.
2. **Administrative Terminal** – TAS website provided by vendor that allows authorized DHR users and providers to perform various administrative functions. (e.g. making adjustments/corrections, adding users, resetting passwords/PINs, etc.)
3. **Point of Service Device (POS Device)** – scanner-device that will be installed in the child care centers; clients will swipe in/out using the cards issued to them.
4. **TAS Card** – card issued to subsidized child care clients with case information stored on card; clients will use this card to swipe in/out at their authorized child care center.
5. **Automated Response Unit (ARU)** – available via toll-free phone call, the ARU would enable clients to perform various administrative functions, such as change their card's PIN.
6. **Provider** – the entity providing child care services having at least one child in the facility who is eligible for subsidized child care.
7. **Child Care Management Agency (CMA)** – agencies that administer the Child Subsidy Program, contractually, on behalf of Alabama Department of Human Resources.
8. **Provider ID and Extension** – the provider ID is the FEIN/SSN of the provider; the Extension delineates providers with multiple centers within the Department or with multiple entries in the CCMS system.
9. **Adjustment** – correction to attendance information or the addition of attendance information.
10. **Manual Claim** – attendance information gathered from the provider through a manual process, such as mailing of attendance forms, rather than through the POS device.
11. **Child Care Management System (CCMS)** – the licensing and eligibility computer system used by CMA staff and the CCSD to perform their job duties.
12. **Child Care Services Division (CCSD)** – the division of the Alabama Department of Human Resources (DHR) responsible for administering the Child Care Subsidy Program.
13. **Family Day Care Home** – an individual licensed to provide care as the sole caregiver in a private residence, other than the eligible child's residence, for no more than six (6) children during the day or night, as applicable.
14. **Group Day Care Home** – an individual licensed to provide care as the sole caregiver in a private residence, other than the eligible child's residence, for no more than six (6) children during the day or night, as applicable
15. **Child Care Center** – a child care facility licensed by the Department or otherwise legally authorized, which receives more than 12 children during the day or night, as applicable.
16. **Exempt Center** – a child care facility operated legally by a church, school or other entity exempt from Department licensure requirements.

APPENDIX A: STANDARD TERMS AND CONDITIONS

By submitting a response to request for proposal or acceptance of a contract, the vendor agrees to acceptance of the following Standard Terms and Conditions and any other provisions that are specific to this solicitation or contract.

ACCEPTANCE/REJECTION OF PROPOSALS: The Department reserves the right to accept or reject any or all proposals, wholly or in part, and to make awards in any manner deemed in the best interest of the Department. Proposals will be firm for 180 days, unless stated otherwise in the text of the request for proposal.

ACCESS AND RETENTION OF RECORDS: The contractor agrees to provide the Department, Legislative Auditor, or authorized agents, access to any records necessary to determine contract compliance. The contractor agrees to create and retain records supporting the services rendered or supplies delivered for a period of three years after either the completion date of the contract or the conclusion of any claim, litigation, or exception relating to the contract taken by the Department or third party.

ALTERATION OF SOLICITATION DOCUMENT: In the event of inconsistencies or contradictions between language contained in the Department's solicitation document and a vendor's response, the language contained in the Department's original solicitation document will prevail. Intentional manipulation and/or alteration of solicitation document language will result in the vendor's disqualification and possible debarment.

ASSIGNMENT, TRANSFER AND SUBCONTRACTING: The contractor shall not assign, transfer or subcontract any portion of the contract without the express written consent of the Department.

AUTHORITY: The following request for proposal, limited solicitation, or contract is issued under authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3rd Sp. Sess., p 817, §1.)

CHARGE BACKS: The Alabama Department of Human Resources and Medicaid will deduct federal charge backs from future payments.

COMPLIANCE WITH LAWS: The contractor must, in performance of work under the contract, fully comply with all applicable federal, department, or local laws, rules and regulations, including the Civil Rights Act of 1964, the Age Discrimination Act of 1975, the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973. Any subletting or subcontracting by the contractor subjects subcontractors to the same provision. The contractor agrees that the hiring of persons to perform the contract will be made on the basis of merit and qualifications and there will be no discrimination based upon race, color, religion, creed, political ideas, sex, age, marital status, physical or mental disability, or national origin by the persons performing the contract.

DEBARMENT: The contractor certifies, by submitting this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction (contract) by any governmental department or agency. If the contractor cannot certify this statement, attach a written explanation for review by the Department.

DISABILITY ACCOMMODATIONS: The Department does not discriminate on the basis of disability in admission to, access to, or operations of its programs, services, or activities. Individuals, who need aids, alternative document formats, or services for effective communications or other disability-related accommodations in the programs and services offered, are invited to make their needs and preferences known to this office. Interested parties should provide as much advance notice as possible.

FACSIMILE RESPONSES: Facsimile responses will not be accepted for requested for proposals or limited solicitations.

FAILURE TO HONOR PROPOSAL: If a vendor to whom a contract is awarded refuses to accept the award (contract) or, fails to deliver in accordance with the contract terms and conditions, the Department may, in its discretion, suspend the vendor for a period of time from entering into any contracts with the Department.

FORCE MAJEURE: Neither party shall be responsible for failure to fulfill its obligations due to causes beyond its reasonable control, including without limitation, acts or omissions of government or military authority, acts of God, materials shortages, transportation delays, fires, floods, labor disturbances, riots, wars, terrorist acts, or any other causes, directly or indirectly beyond the reasonable control of the non-performing party, so long as such party is using its best efforts to remedy such failure or delays.

HOLD HARMLESS/INDEMNIFICATION: The contractor agrees to hold the Department, its elected and appointed officials, agents, and employees, while acting within the scope of their duties as such, harmless from and against all claims, demands, causes of action of any kind or character, including the cost of defense thereof, arising in favor of the contractor's employees or third parties on account of bodily or personal injuries, death, or damage to property arising out of services performed or omissions of services or in any way resulting from the acts or omissions of the contractor and/or its agents, employees, representatives, assigns, subcontractors, except for acts of omission resulting from the sole negligence of the Department, under this agreement.

LATE PROPOSALS: Regardless of cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall be solely the vendor's risk to assure delivery at the designated office by the designated time. Late proposals will not be opened and may be returned to the vendor at the expense of the vendor or destroyed if requested.

REGISTRATION WITH THE PURCHASING DIVISION: Any business intending to transact business in Alabama must register with the Alabama Purchasing Division by completing the Vendor Disclosure statement. A copy of the Vendor Disclosure statement can be downloaded from the Purchasing website at www.purchasing.alabama.gov.

SEVERABILITY CLAUSE: A declaration by any court, or any other binding legal source, that any provision of the contract is illegal and void shall not affect the legality and enforceability of any other provision of the contract, unless the provisions are mutually dependent.

SOLICITATION DOCUMENT EXAMINATION: Vendors must promptly notify the Department of any ambiguity, inconsistency, or error, which they may discover upon examination of a solicitation document.

TERMINATION OF CONTRACT: Unless otherwise stated, the Department may, by written notice to the contractor, terminate the contract in whole or in part at any time the contractor fails to perform the contract.

UNAVAILABILITY OF FUNDING: The Department, at its sole discretion, may terminate or reduce the scope of the contract if available funding is reduced for any reason.

U.S. FUNDS: All prices and payments must be in U.S. dollars.

DEPARTMENT OF ALABAMA
REQUEST FOR TAXPAYER IDENTIFICATION NUMBER
DEPARTMENT COMPTROLLER'S OFFICE

1. In PART 1 below provide your Tax Identification Number and check FEIN or SSN. Also provide the name and address to which payments should be sent. In addition, provide the name of the legal signatory authority for your organization (the individual authorized in your Constitution and/or By-laws to legally obligate the organization, for example, sign a contract on behalf of the organization).
2. Circle the business designation that identifies your type of trade or business in PART 2.
3. Sign and return this form as part of the response to the RFP:

NAME & TITLE OF LEGAL SIGNATORY AUTHORITY: _____

PLEASE INCLUDE FEDERAL IDENTIFICATION NUMBER ON ALL INVOICES

APPENDIX C: TRADE SECRET AFFIDAVIT

Alabama Department of Human Resources

AFFIDAVIT FOR TRADE SECRET CONFIDENTIALITY

DEPARTMENT OF _____)

)ss.

County of _____)

_____ (Affiant), being first duly sworn under oath, and representing
_____ (hereafter "Vendor"), hereby deposes and says that:

1. I am an attorney licensed to practice in the Department of _____, representing the Vendor referenced in this matter, and have full authority from the Vendor to submit this affidavit and accept the responsibilities stated herein.

2. I am aware that the Vendor is submitting a proposal to the Alabama Department of Human Resources for RFP # _____. Public agencies in Alabama are required by Alabama law to permit the public to examine documents that are kept or maintained by the public agencies, other than those legitimately meeting the provisions of the Alabama Trade Secrets Act, Alabama Code Section 8-27-1, and that the Department is required to review claims of trade secret confidentiality.

3. I have read and am familiar with the provisions of the Alabama Trade Secrets Act, am familiar with the case law interpreting it, and understand that all information received in response to this RFP will be available for public examination except for:

- (a) trade secrets meeting the requirements of the Act; and
- (b) information requested by the Department to establish vendor responsibility unless prior written consent has been given by the vendor.

4. I am aware that in order for the Vendor to claim confidential material, this affidavit must be fully completed and submitted to the Department, and the following conditions must be met by the Vendor:

- (a) information to be withheld under a claim of confidentiality must be clearly marked and separated from the rest of the proposal;
- (b) the proposal may not contain trade secret matter in the cost or price; and
- (c) the Vendor's explanation of the validity of this trade secret claim is attached to this affidavit.

5. I and the Vendor accept that, should the Department determine that the explanation is incomplete, inadequate or invalid, the submitted materials will be treated as any other document in the department's possession, insofar as its examination as a public record is concerned. I and the Vendor are solely responsible for the adequacy and sufficiency of the explanation. Once a proposal is opened, its

contents cannot be returned to the Vendor if the Vendor disagrees with the Department's determination of the issue of trade secret confidentiality.

6. I, on behalf of the Vendor, warrant that the Vendor will be solely responsible for all legal costs and fees associated with any defense by the Department of the Vendor's claim for trade secret protection in the event of an open records request from another party which the Vendor chooses to oppose. The Vendor will either totally assume all responsibility for the opposition of the request, and all liability and costs of any such defense, thereby defending, protecting, indemnifying and saving harmless the Department, or the Vendor will immediately withdraw its opposition to the open records request and permit the Department to release the documents for examination. The Department will inform the Vendor in writing of any open records request that is made, and the Vendor will have five working days from receipt of the notice to notify the Department in writing whether the Vendor opposes the request or not. Failure to provide that notice in writing will waive the claim of trade secret confidentiality, and allow the Department to treat the documents as a public record.

Documents that, in the opinion of the Department, do not meet all the requirements of the above will be available for public inspection, including any copyrighted materials.

Affiant's Signature

Signed and sworn to before me on _____ (date) by _____

(Affiant's name).

Name of Notary Public: _____ for the

Department of: _____

My Commission Expires: _____

Place seal here.

APPENDIX D: IMMIGRATION STATUS FORM
--

I hereby attest that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

Signature of Contractor

Witness

APPENDIX E: CHILD DAY CARE ATTENDANCE RECORD LAYOUT

Child Day Care Attendance Record Layout					
Field	Start	Length	Type	Description	Sample Data
PAYEE ID	001	9	NUMBER	Provider ID	421920232
Ext	010	3	NUMBER	Provider ID Extension	0
REIMB PERIOD	013	10	DATE	Fist day of the Month in which the Provider is being reimbursed.	01-FEB-10
FUNDING CODE	023	8	VARCHAR2	Funding Code	1
FUNDING CONTRACT	031	5	VARCHAR2	Funding Contract	ALL
CHILD SSN	042	11	VARCHAR2	Child Social Security Number.	422773333
CHILD UNIQUE NUMBER	053	7	NUMBER	Child Enrollment Unique Number.	74356
CHILD NAME	060	35	VARCHAR2	Child First and Last Name.	MARY SIGLER
SUBSIDY PERIOD START DATE	095	10	DATE	First day of Reimbursement Period.	01-FEB-10
SUBSIDY PERIOD END DATE	105	10	DATE	Last day of Reimbursement period.	28-Feb-10
ENROLLMENT DATE	115	10	DATE	Date child was enrolled during this payment period.	11-Aug-08
YEAR	119	4	DATE	Current Year	2010
MONTH	122	3	DATE	Month of Exception.	FEB
DAY	125	3	DATE	Day of Exception.	17
SCHEDULE	129	4	VARCHAR2	Schedule type child is enrolled with for this payment period.	FT
EXECPTION CODE	133	4	VARCHAR2	Code for exception.	N

APPENDIX F: NUMBER OF POS DEVICES REQUIRED

Provider Type	Number of Providers	Number with 1-50 Children	Number with 51-100 Children	Number with 101-150 Children	Number with 151-200 Children	Number of POS Devices Needed
Family Day Care Home	230	230	0	0	0	230
Group Day Care Home	190	190	0	0	0	190
Licensed Center	750	661	80	7	2	850
Exempt Center	696	657	28	8	3	749
TOTAL	1866					2019

APPENDIX G: REPORTS

Report Name	Report Description	Frequency	Distribution Method	Sort Order	Distribute To
Attendance Tracking Report	Report of Every POS machine transaction per site	Weekly	Electronic (in printer friendly format)	By CMA region and County	Department
Unmatched Check-in Report	Report of children checked-in but not checked out	Daily	Electronic	By CMA region and County	Department/CMA
Monthly Billing File	List and count of active authorizations	Monthly	Electronic	By CMA region and County	Department
Batch Processing Report	Standard set batch processing reports to be used by the vendor and DHR to ensure the complete and accurate transfer of data during nightly batch processing.	Daily	Electronic	By CMA region and County	Department
Daily Exception Report	A batch exception report for all batch files sent by DHR; reports will contain a listing of all records received within a batch, which were not processed by the vendor; each record included on the exception report will have a corresponding reason code indicating the cause of the rejection.	Daily	Electronic	By CMA region and County	Department
Card issuance/Re-issuance Reports	Audit and statistical reports of cards being issued and reissued to clients; audit reports shall provide detail data by card issued, such as reason for issuance (i.e., initial issuance or replacement for lost/stolen card); statistical reports shall provide data needed to manage the program, such as the card reissue rate, the reasons for re-issuance, etc.).	Monthly	Electronic	By CMA region and County	Department
Card Inactivity Report	Report of cards that have had no activity starting after 2 consecutive weeks; the report shall list the card only once and the number of days it has been in inactive status	Weekly	Electronic	By CMA region and County	Department/CMA

Transaction Denial Summary Report	Statistical report that provides the number and percentage of client transactions denied and the reason for the denials (i.e., invalid authorization, invalid PIN, etc.)	Monthly	Electronic	By CMA region and County	Department
System Availability Report	Report of the TAS up and down time	Monthly	Electronic	By CMA region and County	Department
Monthly Client Help Desk Statistics	Report shall provide a summary of the number of calls received on the help desk by reason (authorization inquiry, payment issue, etc.) for both ARU (client only) and help desk (provider and client).	Monthly	Electronic	By Date and reason	Department
Monthly Provider Help Desk Statistics	Report shall provide a summary of the number of calls received on the help desk by reason (POS problems, settlement questions, etc.); statistics regarding provider help tickets, including number of tickets opened, tickets closed, and reason for ticket, shall be provided; daily statistics regarding the help desk performance (i.e., number of calls, number of rings before answered, number of abandoned calls, number of busy signals received) shall be collected and reported.	Monthly	Electronic	By Date and reason	Department
Network Statistics Report	Report providing a summary of transactions by time of day and day of month; the purpose of the report is to show the peak processing time for the CATS system;	Monthly	Electronic	By Date, time of day	Department
Management Statistics Report	Summary report of transaction activity at a county, CMA and Department level; statistics provided should include, at a minimum, attendance for the previous month, transactions performed, the number of active cases on the system, number of active cards on the system, and the number of cards issued during the month.	Monthly	Electronic	By CMA and County	Department

Access Definition Report	Report detailing each currently authorized administrative terminal user with the ability to access the TAS data including identifying users with multiple profiles; the report shall also detail the level of access afforded the user through the administrative terminal	Monthly	Electronic	By CMA and County	Department/CMA
Failed Logon Report	Report of users failing in their attempt to logon to the system and the reason for the failure	Daily	Electronic	By CMA and County	Department/CMA
Equipment Report	Report of POS devices at each provider location that were installed, repaired, or removed;	Weekly	Electronic	By CMA and County	Department/CMA
Pending Transactions	Report of all transactions pending for more than 30 days	Weekly	Electronic	By CMA, County and Date	Department/CMA
Ad-Hoc Reports	The vendor shall support requests for ad-hoc reports on a timely basis. The Vendor shall provide in its response the process to be used to request ad-hoc reports and the expected timeframe in which the request will be satisfied	To be defined on request	Electronic	To be defined on request	To be defined on request

APPENDIX H: CHILDREN AND FAMILIES SERVED PER REGION

Region 1 (Huntsville)	Children	Families
17 Colbert	159	83
22 Cullman	407	249
30 Franklin	47	30
39 Lauderdale	286	157
40 Lawrence	72	37
42 Limestone	140	86
45 Madison	1360	779
52 Morgan	408	209
67 Winston	30	18
Region 2 (Mobile)	Children	Families
02 Baldwin	414	243
13 Clarke	121	62
18 Conecuh	42	27
27 Escambia	100	59
49 Mobile	5936	2966
50 Monroe	215	104
65 Washington	38	26
Region 3 (Birmingham)	Children	Families
05 Blount	88	55
37 Jefferson	7014	3711
58 St. Clair	197	113
59 Shelby	265	161
64 Walker	94	66
Region 4 (Montgomery)	Children	Families
01 Autauga	193	99
06 Bullock	46	27
07 Butler	37	19
11 Chilton	123	66
20 Covington	131	60
24 Dallas	336	180
26 Elmore	141	77
43 Lowndes	36	18
51 Montgomery	2265	1155
66 Wilcox	15	8
57 Russell	484	263
62 Tallapoosa	247	130

Region 5 (Opelika)	Children	Families
9 Chambers	119	75
41 Lee	842	442
44 Macon	203	124
57 Russell	484	263
62 Tallapoosa	247	130
Region 6 (Tuscaloosa)	Children	Families
04 Bibb	27	18
12 Choctaw	7	5
29 Fayette	27	16
32 Greene	10	6
33 Hale	37	23
38 Lamar	34	16
46 Marengo	82	50
47 Marion	38	24
53 Perry	14	8
54 Pickens	40	28
60 Sumter	53	33
63 Tuscaloosa	832	497
Region 7 (Ft Payne)	Children	Families
10 Cherokee		
25 DeKalb		
28 Etowah		
36 Jackson		
48 Marshall		
Region 8 (Talladega)	Children	Families
08 Calhoun	407	249
14 Clay	30	18
15 Cleburne	89	48
19 Coosa	32	21
56 Randolph	116	71
61 Talladega	406	231
Region 9 (Dothan)	Children	Families
03 Barbour	63	35
16 Coffee	165	94
21 Crenshaw	24	15
23 Dale	168	102
31 Geneva	73	35
34 Henry	71	43
35 Houston	856	452
55 Pike	110	66

APPENDIX I: ESTIMATED NUMBER OF TRAINEES

Department of Human Resources (DHR) Staff

Child Care Services Division staff = 39

Finance Division = 3

DHR/ISD Division = 4

Total = 46

Child Care Management Agency (CMA) Staff

Huntsville – 12

Mobile – 16

Birmingham – 21

Montgomery – 21

Opelika – 5

Ft Payne – 1

Talladega – 5

Dothan – 6

Total – 87

Child Care Providers

Statewide – 2300

Child Care Clients

Statewide – 16,684

**ALABAMA DEPARTMENT OF HUMAN RESOURCES
REQUEST FOR PROPOSALS
CHILD CARE TIME AND ATTENDANCE SYSTEM (TAS)
PRICE SHEET TEMPLATE**

Part II

Company Name	Authorized by:
---------------------	-----------------------

Manufacturer's Name, Model, Version, etc.	Initial Cost	Annual Maintenance Cost
Hardware (List the cost of all hardware components separately):		
Software (Include DBMS, Development Tools, Licenses, etc. Also List the cost of software license(s) per # of user's/license, and designate if it is a site or seat license.):		

Total Estimated Hardware and Software Cost:		
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**ALABAMA DEPARTMENT OF HUMAN RESOURCES
REQUEST FOR PROPOSALS
CHILD CARE TIME AND ATTENDANCE SYSTEM (TAS)
PRICE SHEET TEMPLATE**

Part III

Project Fixed Hourly Rates

Job Title	Fixed Hourly Rate
Engagement Manager	\$
Project Manager	\$
Business Analyst	\$
Technical Architect	\$
Database Architect	\$
Developer (Java)	\$
Developer (.Net)	\$
QA Tester	\$
Application Maintenance Technician	\$
Conversion Manager	\$
Conversion Business Analyst	\$
Conversion Programmer	\$
Help Desk Technician	\$
Other1:	\$
	\$

**ALABAMA DEPARTMENT OF HUMAN RESOURCES
REQUEST FOR PROPOSALS
CHILD CARE TIME AND ATTENDANCE SYSTEM (TAS)
PRICE SHEET TEMPLATE**

PART IV

SUMMARY

Fixed costs effective through September 30, 2011	
Company:	Date:
Authorized Signature:	
Project Task	Total Fixed Cost
Total Project Cost (A):	

Other Related Costs	Estimated Cost
Total Initial Hardware and Software Cost (B):	
Estimated Annual Hardware and Software Maintenance Cost (C):	

TOTAL COST = (A + B + C) TO BE USED IN COST PROPOSAL EVALUATION

Fixed Costs effective through September 30, 2011

Company: _____

Authorized Signature: _____ Date: _____